



## Synthesis across social innovation case studies

### *Deliverable 4.4 - Part 1*

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**transformative  
social innovation  
theory**



# **Synthesis across social innovation case studies**

**Deliverable no. D4.4**

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**Focus of deliverable:**

This report has two parts.

Part 1 of the report gives an overview and a comparative analysis of the findings from the 20 case study reports in TRANSIT about aspects of transformative social innovation (TSI). Each of the 20 reports, which the report is based on, includes an analysis of a transnational social innovation network and at least two local social innovation initiatives.

Part 2 of the report consists of extended abstracts of 8 papers which either focus on empirical phenomena surfacing in different TRANSIT cases (e.g. alternative economic arrangements), take a societal or methodological issue as starting point (e.g. inclusivity or research relations), address propositions from TRANSIT proto-theory (institutionalization dialectics, responses to crisis), build upon thematic clusters used for case selection (e.g. spaces for/of innovation, inclusive society, new economy, transformative science) or inductively develop specific sensitizing concepts further (e.g. narratives of change).

**Acknowledgements:**

This report is based on the case research done by the case research teams, who conducted the 20 case studies in the TRANSIT project. Without this case research and the case reports there from, it would not have been possible to make the characterisation and comparison of the findings and the methodological experiences in this report. A first draft of Part 1 of the report was reviewed and commented by the case researchers, and further observations from the case reports were added.

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## Overall structure of D4.4

D4.4 has the following overall structure:

- Part 1: Cross-comparative analysis of the 8 Batch 2 cases, including a comparison with the findings in the 12 Batch 1 cases and a discussion of the contribution to theory development and possible further analyses.
- Part 2: Transversal analysis: 8 extended abstracts about:
  - Internal governance of social innovation
  - External governance of social innovation
  - Social innovation as responses to societal crises
  - Researcher relations in TRANSIT
  - Narratives in social innovation networks
  - New Economy as social innovation field
  - Social innovation towards inclusive societies
  - Spatial aspects of social innovation

# **PART 1: Cross-comparative analysis of Batch 1 and Batch 2 cases**

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## 1 Introduction to case comparison in Part 1

The TRANSIT project applies an embedded case study approach is used to ground and develop a middle-range theory on transformative social innovation (TSI). This report – Deliverable 4.4 (D4.4) - gives an overview and a comparative analysis of the findings from the 20 case study reports in TRANSIT about transformative aspects of social innovation – 12 cases in Batch 1 conducted in 2014-2015 and 8 case studies in Batch 2, mainly conducted during the last 6 months of 2015. Each of the 20 case reports includes an analysis of a transnational social innovation network and at least two local social innovation initiatives. Annex 1 shows an overview of the 20 case studies, the institution leading the case study and social innovation fields covered by each of the cases.

The aim of the case studies is to contribute to developing knowledge about the dynamics of social innovation as described in the overall TRANSIT research question:

**How does social innovation interact with other forms of (transformative) change, and how are actors (dis)empowered therein?**

This part of the D4.4 report builds upon summary tables developed by the case researchers of each case study in Batch 2 and builds furthermore upon Deliverable 4.2 (D4.2) – the comparative analysis of the findings from the 12 cases in Batch 1.

The objectives of the chapters in Part 1 are described underneath:

- Introduce the applied case study approach and methodology and its role in the middle-range theory development in TRANSIT (chapter 2)
- Describe the methodological approach in the comparison of the findings from the 20 case reports (chapter 3)
- Give an overview of the analysed cases and the main findings with respect to:
  - Emergence (chapter 4)
  - Dynamics (chapter 5)
  - Agency (chapter 6)
- The possible contribution of the case comparison to the theory development in TRANSIT about transformative aspects of social innovation (chapter 7)

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## 2 Case studies and TSI theory development

This chapter focuses on the role of the Batch 1 and Batch 2 cases in the TSI theory development. The methodology used stems from chapter 2 in D4.2 about the TRANSIT 'approach', but it has been updated with a focus on the guidelines for both the Batch 1 and the Batch 2 cases and their similarities and differences (Jørgensen et al., 2015). This chapter provides an overview of the Batch 1 and Batch 2 case study guidelines to explain the analyses that the case studies build upon. This will also help the reader understand the comparative analysis conducted for the present D4.4 better.

TRANSIT aims at developing a middle-range theory on transformative social innovation (a TSI theory). This theoretical aim requires a solid research design. This chapter briefly describes the main methodological choices made. In this way it is specified how the comparison of 20 case studies helps to answer the central research question of TRANSIT.

In the following, six clusters of methodological choices are described. These pertain to the iterative set-up (2.1), the proto-theorization through sensitizing concepts (2.2), the embedded- case approach (2.3), the case demarcations (2.4), the reflective approach (2.5), and the comparative set-up (2.6).

### 2.1 Iterating towards middle-range theory on TSI processes

The central research question leaves open various methodological choices. The stated research aims contain several major choices however, which immediately translate into the research design. In the Description of Work, TSI is described as follows: *"The overall objective is to **iteratively co-produce a middle-range theory of social innovation processes** that constitutes a step-wise contribution to the science of social change and that is **also of practical use** in informing the development of institutional and policy frameworks for the governance – and **empowerment** – of social innovation (SI) and in directly supporting social entrepreneurs engaged in social innovation processes."* (TRANSIT 2013, 20). All the terms in bold indicate choices in research design:

**Middle-range theory.** TRANSIT research aims at developing a 'middle-range' TSI theory (Cf. Haxeltine et al. 2013). The term "middle-range theory" is an approach to theory construction that was brought forward by Robert K. Merton as a deliberate departure from Talcott Parsons' systems-based social theorizing. Merton argued for a focus on measurable aspects of social reality that can be studied as separate social phenomena rather than attempting to explain the entire social world. Middle range theories are developed by applying theory building techniques to empirical research, which produce generic propositions about the social world that afterwards can also be empirically tested. Like other theories middle-range theory should consolidate otherwise segregated hypotheses and empirical regularities (Bourdon 1991).

**Process understanding for empowerment.** The importance of empirically informed TSI theory is further underlined by the aim for practical relevance, and for advice that somehow can empower SI actors. Arguably, this also requires the theory to account for the great empirical variety in the circumstances under which SI actors seek to achieve their goals. Moreover, the theory is to account

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for the fact that actors tend to operate in dynamic environments, and that the very phenomena of social innovation and change require a theoretical sensitivity to development: TSI theory is to provide a process understanding, without which its practical relevance would be limited (Geels & Schot 2010). The importance of this process understanding is also an important reason for conducting the TRANSIT case studies. These in-depth investigations typically convey the complexity of dynamic processes. With respect to case studies on transformation processes it has been remarked that such process understanding may still be of limited instructional value to practitioners, however, as far as the case studies consist of retrospective, synoptic accounts of changing structures (Geels 2010; Garud & Gehman 2012; Jørgensen 2012). It is therefore relevant to consider that the empowerment value of TSI theory presupposes an engagement with processes of innovation-in-the-making as well (Bijker & Law 1992; Akrich et al. 2002a). What is more, the TRANSIT commitment to empowering research is to generate both retrospective and prospective tools (TRANSIT 2013, see figure 2.1 below).

**Iteration.** Finally, a most important element of the research design is that TSI theory will be developed in an iterative way. As can be seen in figure 2.1, the refinement of TSI will crucially rest on the sustained confrontation between theory formation and empirical investigation, between inductive and deductive approaches, a form of abduction. The case comparison contained in this report forms part of the inductive stream, which however have been influenced by theory building based on the first batch of case studies through a theoretical integration workshop that fed into the guidelines for the second batch 2 of cases, making this more of an abductive (or retroductive cf. D3.2) approach than purely inductive.

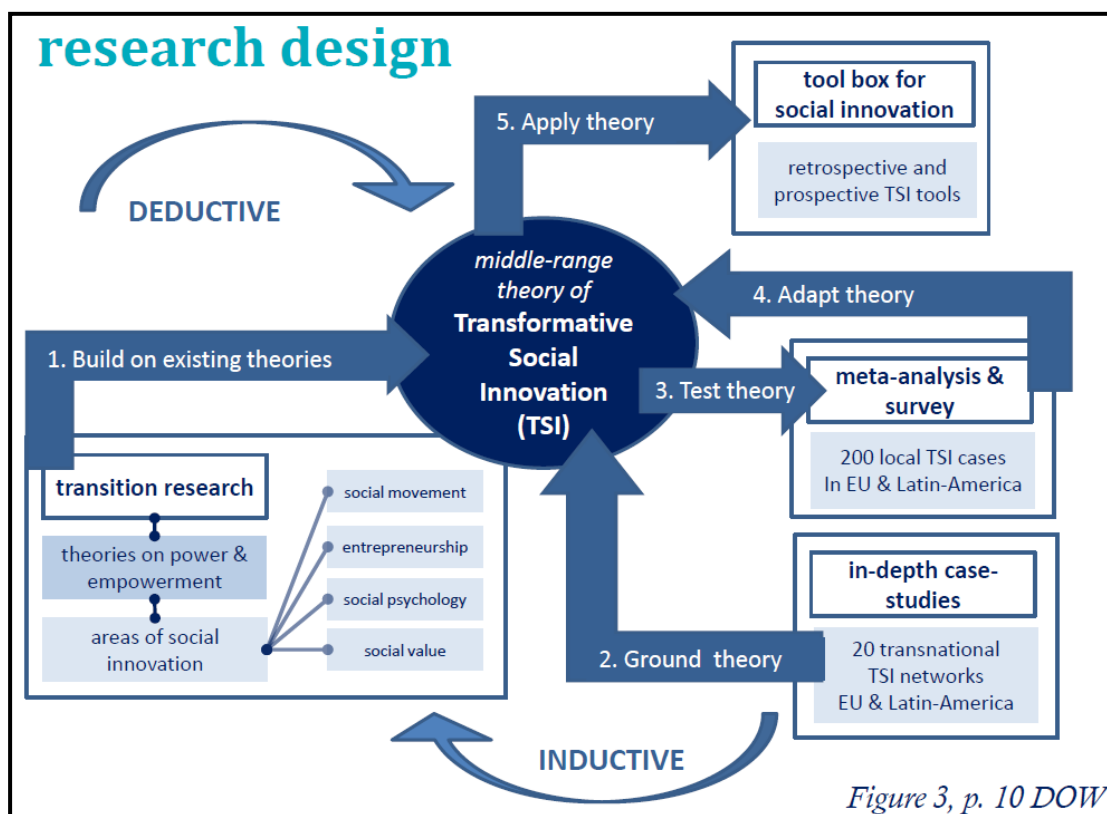


Figure 2.1: The iterative research design in the TRANSIT project

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For the specification of this iterative research design, its grounding in critical realism and the particular mix of methods it comprises, see Pel et al. (in progress). Furthermore, the principle of iteration will be discussed in Chapter 3 (comparative analysis set up).

## 2.2 Cognitive map and sensitizing concepts

The key principle of the middle range theory development is the iteration between empirical findings and emergent theorization. This is a careful way of theory building that strongly anchors theory in empirical investigation. Other than in some principled-empiricist 'grounded' theory development however, TRANSIT acknowledges that empirical observation presupposes conceptual frameworks (Suddaby 2006; Bryant 2007). Moreover, TRANSIT considers that considerable theoretical insights are already available that provide at least parts of the answers to the research question. The following cognitive map summarizes the preliminary conceptualization that is now outdated:

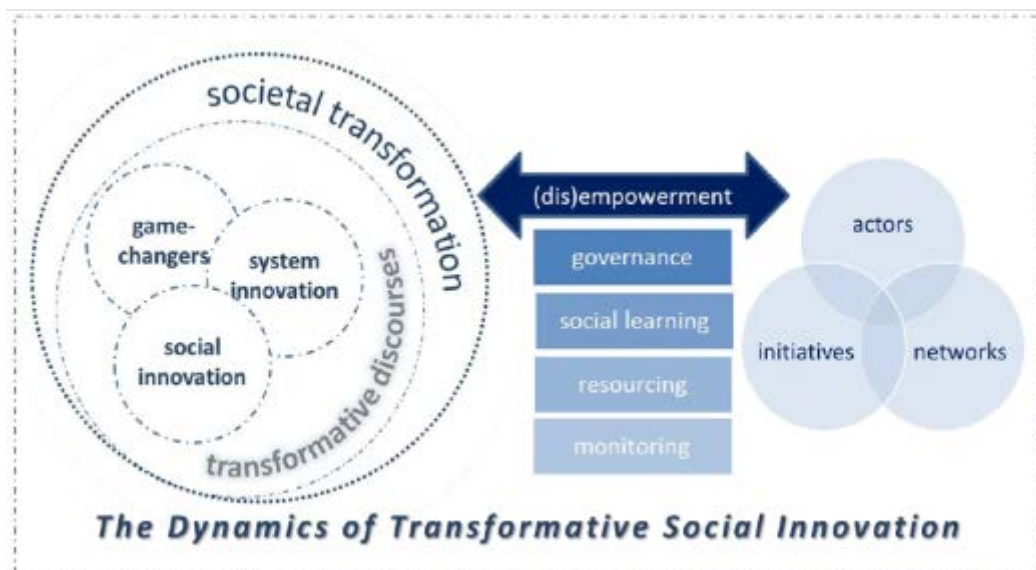


Figure 2.2: Cognitive map for Batch 1 cases (Jørgensen et al. 2014)

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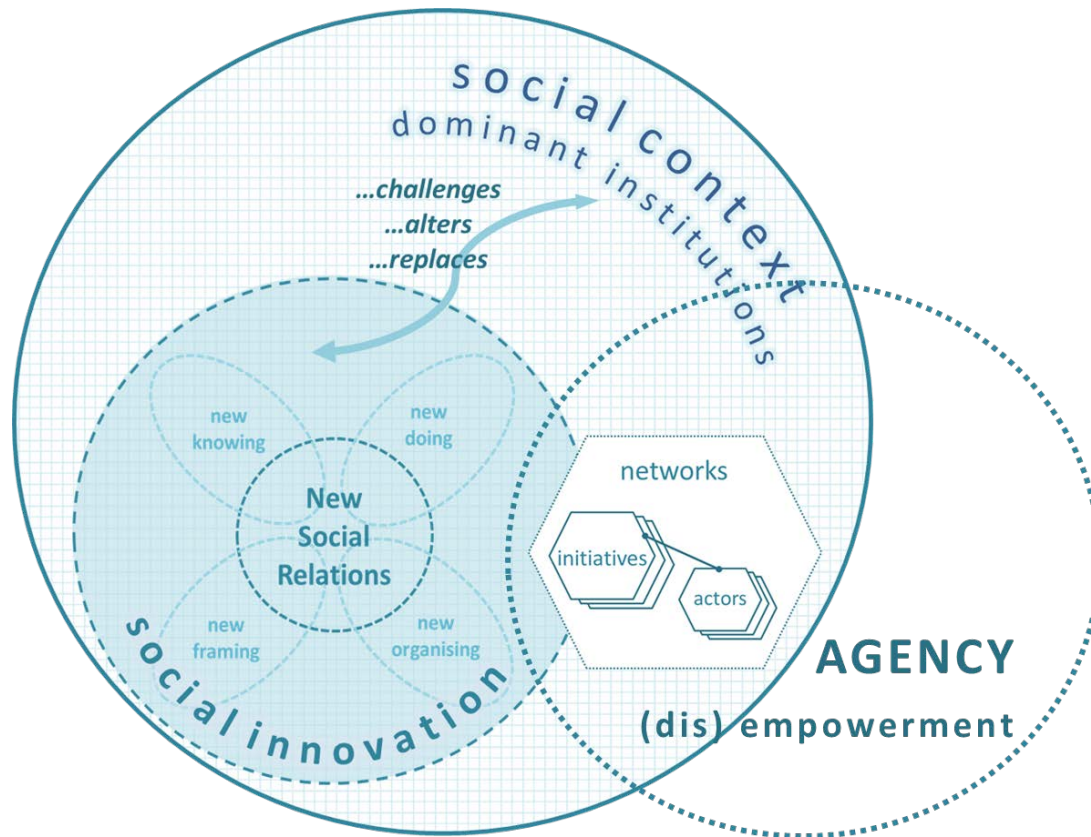
Importantly, the map from D4.2 renders the research question answerable through empirical observation (Jørgensen et al., 2014), specifying some units of analysis and bringing forward some propositions about the relations between them (Yin 2003, 27). The map is informed by theory on socio-technical transitions (TRANSIT 2013, Avelino et al. 2014, see also Haxeltine et al. 2015): First of all, the key phenomena of social innovation and transformation are seen to co-evolve with other shades of innovation and change (Jørgensen et al., 2014, chap. 5). Second, whilst agency and structure are theorized in dynamic, recursive fashion, there is the assumption that social innovation networks are important sources of transformative agency. TRANSIT brings forward particular propositions about the emergence and reasons of existence of networks (Jørgensen et al., 2014, chap. 4, and Chapter 4 in the present document). Third, TRANSIT considers that the question of the empowerment of (networked) actors, the processes through which they gain the capacities towards influencing the co-evolutionary process of transformation, will revolve around governance, social learning, resourcing and monitoring (Jørgensen et al., 2014, chap. 6).

The cognitive map hardly contains directly observable entities, however. In this regard the choice was to balance uniformity and sensitivity to particular features of cases: The methodological guidelines did provide considerable lists of sub-questions for the three above elements of the central research question. Still, they also reminded case researchers of the need to interpret the cognitive map, and use it in an explorative way to discover the transformative particularities of cases. In other words, the cognitive map provided fairly general propositions to guide investigations, yet underneath the broadly defined sensitizing concepts there was considerable specification of the relevant observables.

The second batch of case studies used a different set of guidelines illustrated by a new cognitive map based on Batch 1 and a theoretical integration workshop. The new cognitive map for the empirical research, which consists of three distinct and intertwined parts: (1) how social innovation emerges (Ch.4) that evolved out of D4.2, (2) how social innovation contributes to transformative change (Ch.5), and (3) agency in (transformative) social innovation (Ch.6). These three parts are schematically visualised in figure 4.4 below. Underlying the cognitive framework is our relational perspective. The relational perspective on the world implies that we see the world as comprised not so much of entities (things, persons, organizations) but primarily of social relations, processes and changes, see D3.2 (Haxeltine et al. 2015) and D4.3 (Jørgensen et al. 2015) for more information. These are part of a social context, which includes ‘anything that is relevant’ for the object under study. When using the word social, we include ‘socio-material’ realities. Social relations, social contexts, doing, organising, framing and knowing, they are all ‘socio-material’. We consider all elements in the social context to be ‘co-produced’ and to ‘co-evolve’ with each other (see D3.2). While many of these aspects were already mentioned for Batch 1, they have been elaborated and brought more in focus here, as some of them were found to lack in the case reports, like consistent explanations of social contexts.

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Figure 2.3: Cognitive Map for Batch 2 cases: Agency & (Dis)empowerment in Transformative Social Innovation



The cross-cutting themes (governance, social learning, resourcing and monitoring) from batch 1 cases are still present, but are taken up in the chapter on agency (Ch.6), as they are important elements of agency and empowerment. However, agency and empowerment are broader than those themes alone. Moreover, all cross-cutting themes can also be seen as institutional and contextual factors that enable/constrain agency and (dis)empowerment. As such, governance, learning, resourcing and monitoring are not only activities that actors intentionally engage in, they also manifest as dominant institutions, structures and discourses that prescribe standardised ways of doing, organising, framing and knowing.

In other words, although the second batch of case studies uses a new conceptual framework, and the research questions and case study template are different, it is approaching many of the same topics from a new direction, to hopefully answer some of the questions left unanswered after or emergent from batch 1.

## 2.3 Cases as evolving networks

TRANSIT has a particular understanding of what case studies are pertinent to TSI theory, and what cases are:

**Embedded case study.** TRANSIT case studies should suit the desired process understanding (2.1). Still, considering the so particularly encompassing phenomenon of study (2.2), it is accordingly



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important to specify what the case studies are about, precisely. Concepts (like TSI) cannot be objects of case study themselves; only concrete instantiations of the concepts can (Yin 2003, 32). This is a non-trivial issue for TRANSIT. The cognitive map suggests that empirically grounded TSI theory development requires a great many of units of analysis to be observed - comprising actors and processes on different levels of aggregation. This makes for a quite complex 'embedded case design'. Other than in a holistic case design, in which there is a clear and exclusive focus on the key phenomenon of study (an organization, a person, the lifecycle of a particular innovation), such research design also observes sub-units (organization members). As indicated by Yin (2003:50-52), the embedded case design helps the researcher to deal flexibly with the fact that the appropriate level of analysis may not be evident at the start of the research. Likewise, TRANSIT adopts an embedded case study design as the originating source of transformative social innovation is yet to be found out. The research design also encompasses two batches of case studies, helping to get closer to the appropriate level of analysis in the second batch.

**Networks, initiatives and actors as embedded units of analysis.** Even when studying transformative processes in rather holistic fashion, in terms of co-evolving shades of innovation and change, TRANSIT focuses on certain groups of actors within those processes. TRANSIT has a practical interest in finding out how social innovation actors can be empowered and disempowered in these processes (see 2.2). In that regard it is questioned whether analysis should focus on individual 'social innovation champions', however. On the contrary, the cognitive map already conveys how social innovation is assumed to be a collective process, involving individual actors that associate into networks. Individual actors are therefore treated as relevant units of analysis, but not as the primary units. Rather, they are embedded units in the even more relevant units of SI initiatives, which in turn are embedded units in the transnational SI networks. However, as it turned out during empirical research, the two embedded cases may be at different levels in relation to each other in multi-layered networks. As specified in the case study protocol, these local initiatives and transnational networks are the key units of analysis that were observed for their empowerment processes and their positioning in the shades of innovation and change in Batch 1 (Jørgensen et al. 2014, 5). In batch 2 the local manifestations and transnational networks have been observed through the co-productive framework for TSI (Wittmayer et al., 2015, Haxeltine et al. 2015).

**Cases as processes.** Importantly, TRANSIT is not so much interested in the static properties of these networks. The research does not seek to lay bare the architecture of these layered networks, and to chart the momentary sizes, inputs and impacts, but rather addresses the dynamics and emergence of them (cf. chapter 4 & 5). In line with the conceptual framework of co-evolution and emergence, even the key observables themselves are treated as unstable entities that emerge and decline. *"The embedded case study approach allows capturing interactions between transnational networks (i.e. networking at the international level) and their national, regional and local origins and manifestations over time. Rather than assuming such networking takes place, this is one of the empirical questions."* (Jørgensen et al., 2014; Wittmayer et al., 2015). In fact, this dynamic understanding of the cases identifies them as complex systems (Byrne 2005; 2009) – out of the interactions between embedded units of analysis, the cases evolve. This dynamic, complexity-acknowledging understanding of cases may be a strong point of TRANSIT: As argued in the mid-term evaluation of SI project LIPSE, it should be taken seriously that innovation is a most unstable concept, and that innovation processes require a certain longitudinal understanding of how

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innovations change over time (Pollitt 2015). As TRANSIT considers cases as evolving networks, the case research protocol consistently prescribes to observe changes, rather than states-of-affairs.

**Porous cases.** In order to focus observation and remain practically manageable, any case study design should define its units of analysis. Yet apart from defining what is “in”, it is also important to specify what is “out”. In this regard Yin (2003) shows how a research design can be sketched through the basic distinction between a case on the one hand, and its context on the other hand. By contrast, the TRANSIT cases display a quite porous division between case and context. The cases are concrete initiatives and networks and in that sense circumscribed, yet, these networks are typically relating to, pervaded by, and intertwining with the broader shades of change and innovation, with other networks, and therefore also with other TSI cases. The definition of context in TRANSIT is broad, referring to everything of relevance to the cases (Wittmayer et al., 2015), and is mapped as part of the case studies based on a flat relational ontology.

## 2.4 Case demarcation

As discussed in the previous section, we are dealing with embedded case studies of evolving networks. And as their boundaries are quite porous, the demarcation of cases is particularly challenging. TRANSIT has responded to that primarily by including a set of questions on case demarcation and development in the case study protocol for both batches (see Chapter 3). Still, even when the TRANSIT (first batch) cases have a certain open-ended nature, the case protocol does provide for three important demarcation axes: The case studies are delineated through the entities, the time span and the spatial-administrative areas covered.

**Entities: Recursively defined network levels.** Whilst assuming multi-level processes, the chosen approach to embedded case study does focus attention onto the ‘local initiatives’ and the ‘transnational networks’ as principal units of analysis. Depending on the particular kind of social innovation at hand, the first can be a place, activity, community, project or program. Clearly, this definition still comprises several levels of organization. Likewise, the ‘transnational networks’ are fairly broadly described as *‘collections of initiatives and actors that are connected to each other and share an equal concept and identity, either formally or informally. ‘Transnational’ implies that the network(ing) crosses national borders. The network can be more or less formalised. The level/degree of formalisation is itself a part of the empirical research.’* (Jørgensen et al, 2014, 5). However justifiable as ways to remain responsive to the foreseeable diversity in social innovation, it needs to be realized that these fairly open-ended network levels do little delimitation. Crucially however, and this may be an example of ‘mobile methods’ that seek to move along with research objects deemed dynamic (Büscher & Urry 2009, see also Vayda 1983 on ‘progressive contextualization’), the two network levels are defined recursively. That is to say, it is left to the researchers to develop appropriate demarcations of ‘local initiatives’ and ‘transnational networks’, yet they are to correspond with each other. As shown by batch 1 the ‘local’ initiatives were in some cases national or regional initiatives like RIPESS, while in others it was a small group of 2-3 people in a specific local office like in the case of the Living Knowledge network (Jørgensen et al., 2015). The crucial point has been that there are levels beneath a transnational network. In some cases even, like Co-housing, one local initiative is a regional network while the other is a specific neighbourhood, which gives both valuable insight and comparative challenges. However, in other cases there is no

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unifying international network, like Time Banks and the Seed Network, which then has to be understood more as a social movement akin to a very informal international network. The guiding idea is that the levels along which a particular social innovation practice seems to be organized, at least there should be observation of both day-to-day activities as well as the ways in which they are supported by a next-level SI organization (Jørgensen et al. 2014, 26).

**Time: historical-contemporary case studies.** TRANSIT aims for a process understanding of TSI that is retrospective, whilst engaging to some extent with contemporary innovation-in-the-making (2.2). Also in this respect, the case demarcations in terms of time are left quite open, considering that the networks studied differ in age. The case protocol does specify however that the networks studied will not be followed throughout the duration of TRANSIT, and directs researchers' attention to the major shifts of course that took place in network evolution (Jørgensen et al. 2014, 14). The latter suggests case researchers to zoom in onto particular episodes, if it serves this purpose. Meanwhile, cases are designed to include a timeline from inception to present, providing at least a sketchy overview of overall network evolution. Following the first batch of case studies, WP5 also set out to specifically map these major shift of courses (Pel et al., 2015), and the second batch of case studies were chosen to balance out the cases of new and old social innovation initiatives.

**Space: SI initiatives in different welfare system contexts.** As the cases constitute evolving networks, they are by definition difficult to demarcate spatially. On the contrary, the case research set-up was rather chosen to be responsive to the ways in which the SI ideas (and associated actions and objects) travel (Czarniawska & Joerges 1996). This effectively postpones spatial demarcation, or lets it be developed and reflected upon during the research process itself through progressive contextualization (Vayda 1983). Similar approaches of 'following an innovation wherever it spreads' are argued for under the 'geographical turn' in transitions studies (Coenen et al. 2012), and is related to the relational approach in TRANSIT inspired by Actor-network theory, and Latour's motto "follow the actors" (Latour, 2007). Still, the case study protocol does specify a tripartite division within cases, featuring parallel SI initiatives in a comparative set-up. Whatever the precise demarcation choices made, each case on a transnational network is to comprise two local initiatives associated with that network. As these two local initiatives are recruited from different countries that represent examples of different kinds of welfare states (TRANSIT 2013, see further 2.6 and Ch3), there is significant spatial demarcation: Somewhat similar to comparative research in the political sciences, cases are confined to national-administrative contexts (Cf. 3.1).

## 2.5 Reflexive research

TRANSIT aims at socially relevant research that is empowering to SI actors, and has explicitly chosen for co-production of knowledge between case researchers and the social innovation networks and initiatives. A methodological implication of this research aim is that the case study methodology starts from a strong commitment to reflexive research. Accordingly, the case study protocol contains several quite specific choices and issues for consideration<sup>1</sup>:

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<sup>1</sup> These choices were based on a questionnaire held with TRANSIT researchers in April 2014.

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**Proximity and distance.** First of all, there is the consideration that TRANSIT case researchers should position themselves as ‘critical friends’ in relation to the social innovation initiatives and networks: *“...we strive for a good balance between proximity (being close to, knowing a lot about and maybe even being part of an initiative/network being studied) and distance (being independent or at least being able to perform critical and documented analysis of the initiative/network and its dynamics). The concept of ‘a critical friend’ or ‘friendly outsider’ from action research might be a way of describing our relations to the social innovation case.”* (Jørgensen et al., 2014, p. 20; Wittmayer et al., 2015). The sought balance between proximity and distance is thus a matter of neither too close or nor too distant observation, but also pertains to the normative position of the researcher. Case researchers are therefore instructed to be very transparent about their interpretive choices, and to be aware of pro-innovation bias (which proves hard to avoid in social innovation research according to Pollitt (2015)). Furthermore, case studies are supposed to include ‘outsiders’ as well, as a way to include viewpoints that complement those of the primary actors in social innovation initiatives.

**Dialogue and co-production with observed actors.** The commitment to knowledge co-production has been substantiated in several ways. First of all through the fairly usual procedures of development of working relations and joint discussion of findings, which are established as ways of increasing internal validity and reliability of findings (Yin, 2003). Beyond those consultations that still can be considered to primarily serve research interests, TRANSIT has chosen to explicitly invite researched networks to provide contributions to parts of the research process: Some of the case studies respond to network actors’ knowledge interests in their selection of particular themes for case studies to explore, and of cases to include in the research.

**Mix of research techniques and data sources.** The aforementioned balance between proximity and distance is not only pursued by considering the balance between ‘insider’ and ‘outsider’ perspectives. The case research guidelines and the case report format also specify that cases should be done through a mix of research techniques: After all, document/media sources, semi-structured interviews and direct observation of meetings each provide different modes of observation with different levels of proximity and distance, which can be combined or ‘triangulated’ into more balanced findings. The case research guidelines provide both description of the research techniques and rough directives for the extent they should be deployed (Jørgensen et al., 2014, pp. 14–20).

## 2.6 Comparative case study

Having described several key methodological choices regarding the TRANSIT case studies, it has become easier to expose the comparative strategy that they are part of. TRANSIT follows an iterative, mixed-method, process-oriented and embedded case research design. There are three distinct motives behind our comparison of multiple cases, and the overall comparative strategy is in fact closely related to other aspects of the research design discussed earlier. Before going into the specifics of the comparative set-up (Ch3.), its general rationales are outlined below.

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**Solidification.** One motive for doing a multiple case study resides in the aim for solidification (understood as consolidation) of results. This motive is often emphasised as crucial added value of multiple case study compared to singular-case designs (Cf. Eisenhardt & Graebner 2007 amongst others). This strategy of solidification also appears in the official TRANSIT project summary, which mentions that TSI will be “...*both grounded in in-depth case-studies as well as tested and generalised in a cross-national data-base*” (TRANSIT 2013, 3). The testing and generalising function is mainly assigned to the meta-analysis part of the research, which has been developed to study critical turning points in the development of social innovation, inspired by the initial research results from the first batch of case studies (Pel et al., 2015 + D4.2 chapter 4).

So at least to a certain extent, a strategy is followed in which case studies are replicated. Very similar cases then allow for *literal* replication and actual testing of single-case findings, and other, possibly even contrasting cases allow for *theoretical* replication and testing of propositions (Flyvbjerg, 2006). This strategy was not very prominent in TRANSIT during Batch 1, though, as there in this stage was no full-fledged theoretical framework of propositions that would have to guide such replication (Cf. Yin 2003, 53). However, following the first batch of cases a series of propositions and an initial conceptual framework for social innovation were created, allowing this report to make some initial evaluation of the theoretical development. Referring back to the iterative approach to TSI theory development, the proto-theory and the sensitizing concepts that have guided the case studies investigations (2.1 -2.2), the solidification motive is subordinate to the other motives for TRANSIT comparison – as explained below.

**Learning from diverse contexts.** Comparison needs to serve solidification however. According to Yin (2003, 53), comparison needs to be treated as an ‘extension’ of single case research, but it can also be applied as it is in anthropology and political science. Comparison then primarily serves learning across different social-political contexts, and systematically charting the different ways in which a phenomenon manifests and translates. An example of such political science-type comparison that is instructive for TRANSIT is Kickert et al. (2013), charting different governmental-fiscal responses to the economic crisis across the EU. As will be specified further in Ch.3, TRANSIT has chosen for a similar logic of comparison: The leading idea is that social innovation and transformation dynamics will be crucially mediated by the different social-political contexts and welfare systems that exist in Europe and Latin-America.

**Complex pathways and dynamic journeys.** Finally, it needs to be remembered that the TRANSIT project aims for process understanding, rather than at insight into static states-of-affairs, enabling factors or barriers (2.1). Cases are conceived of as evolving networks, with embedded units of analysis and also themselves embedded in broader processes of co-evolving shades of change and innovation (sections 2.2-2.4). An implication for the comparative analysis is then that is motivated by an interest in the different pathways, courses of innovation journeys and generative mechanisms that can be reconstructed - as provisional typologies or configurations. Considering that TSI ‘journeys’ cannot be easily decomposed in numbers and causal factors, TRANSIT pursues the idea that these evolving networks can be compared as patterned ‘configurations’ (Byrne 2005; Rihoux & Ragin 2009; Schneider & Wagemann 2012; Verweij & Gerrits 2013, see also Pel & Bauler 2014).

## 3 Methodology of case comparison

This chapter describes the methodology of the case comparison in D4.4. The methodology builds upon Halkier's (2011) & Flyvbjerg's (2006) articles on methodological generalisations from case studies and Alvesson's and Skoldberg's reflexive methodology (Alvesson and Skoldberg, 2009), combined with a condensed version of chapter 3 in D4.2. Comparisons are done in the comparative analyses in chapter 4-6 within each of the three main research questions in Batch 2 relating to Emergence, Dynamics and Agency.

For Emergence and Agency the analyses are inspired by the comparative analysis made in D4.2 of the Batch 1 reports and the empirical material from the Batch 2 reports, while the analysis of Dynamics mainly focuses on Batch 2 as the research question about dynamics of social innovation in Batch 2 was not considered centrally in Batch 1 in the same way. Batch 2 has a stronger relational focus in the analysis of the dynamics of social innovation.

In relation to Agency, the cross-cutting themes (governance, social learning, resourcing, and valuation and monitoring) have been part of the focus of the research questions in both Batch 1 and Batch 2. On the contrary, the social-psychological approach to Agency has only been applied in relation to the Batch 2 cases.

This implies that chapter 4-6 include the following analyses:

1. Summary of the findings from the Batch 1 comparative analysis in terms of identified typologies, etc.
2. Comparisons of the different networks analysed in Batch 2, inspired by the Batch 1 typologies, but acknowledging the findings in Batch 2
3. Comparison across Batch 1 and Batch 2 cases

In chapter 7 the findings are compared with the propositions that were developed in D3.2 and used as point of departure for the methodological for the Batch 2 case studies. Furthermore, chapter 7 present ideas for further analyses that could be done based on the case studies and the case comparisons.

All analyses will be used in the theory development in WP3, in the analyses in WP5 of so-called "critical turning points" in a broader selection of local social innovation initiatives, and in the transversal analyses in WP2.

As clarified in the preceding chapter, comparative observations form part of a broader research design for TSI theory development. D4.2 could not provide a final analysis as only the first part of the empirical basis was available. This deliverable can go a step further in relation to solidification, but much of this will be developed in the subsequent WP5 meta-analysis research of critical turning points in local social innovation initiatives. The comparative observations based on the first batch of case studies constituted an important milestone within the overall research process. Through comparison, it became clear to what extent and how the 12 single (embedded) case studies added up, and how they met the intended added values of solidification, learning across contexts and identification of 'journey' typologies. Following this first batch of cases a series of propositions was developed that served to develop the methodological guidelines and report template of the second batch of case studies to ensure both literal replication and testing of

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findings from batch 1, as well as extreme, critical, and maximum variation cases (Flyvbjerg, 2006, p. 230).

The considerations in case selection has not changed considerably from the first batch of cases, except to focus more on areas that seemed inadequately covered in batch 1, and so we will merely refer back to chapter 3.2 in D4.2 (Jørgensen et al., 2015). Batch 2 also stepped away from focusing explicitly on the cross-cutting themes (governance, social learning, monitoring and resourcing), and gave a much more open format for case researchers to adapt their research to the development of their cases.

## 3.1 Introduction: A second phase in comparison

As clarified in the preceding chapter, comparative observations form part of a broader research design for TSI theory development. D4.2 could not provide a final analysis as only the first part of the empirical basis were available. This deliverable can go a step further, especially in solidification, but the survey research is still lacking. The comparative observations based on the first batch of case studies constituted an important milestone within the overall research process. Through comparison, it became clear to what extent and how the 12 single (embedded) case studies added up, and how they met the intended added values of solidification, learning across contexts and identification of 'journey' typologies. Following this first batch of cases a series of propositions were developed that served to develop the methodological guidelines and report template of the second batch of case studies to ensure both literal replication and testing of findings from batch 1, as well as extreme, critical, and maximum variation cases (Flyvbjerg, 2006, p. 230).

The considerations in case selection has not changed considerably from the first batch of cases, except to cover areas further that seemed inadequate in batch 1, and so we will merely refer back to chapter 3.2 in D4.2 (Jørgensen et al., 2015). Batch 2 also stepped away from focusing explicitly on the cross-cutting themes, and gave a much more open format for case researchers to adapt their studies to the development of their cases.

## 3.2 Harmonization and extraction

If the comparative case studies analysis is to have added value for TSI theory development as anticipated, such as learning across contexts (see 3.1), the cases should of course be comparable. This is non-trivial as case study research is rather focused on case particularities. Moreover, case studies have not only been undertaken in different contexts, they also have been undertaken by different research teams – which in itself creates potentials for diverging measurements and interpretations. Important methodological choices have therefore been made to balance uniformity and attentiveness to case particularities and to ensure similarities and differences between the cases can be systematically analysed. After case selection, two other steps in the comparative analysis are harmonization (II) and extraction (III).

**Harmonization.** As case study literature stresses this to be of vital importance, TRANSIT has established an elaborate case study protocol. Jørgensen et al. (2014) laid down extensive



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explanations of the proto-theory and related sensitizing concepts through the different versions of the cognitive maps (Cf. 2.2), provided substantial lists of operational questions, explained the research techniques, and provided various guidelines for case demarcation. Wittmayer et al. (2015) expanded upon these guidelines, summarising many of the research techniques while adding to them methods like archival ethnography. However, while the list of operation questions was just as substantial they were quite different for Batch 2 compared to Batch 1. This has implications for the comparability of Batch 1 and 2. The cross-cutting themes like e.g. game changers may for instance not be present in Batch 2 cases. And the Batch 2 questions as based on a conceptualisation of social innovation that was not yet developed for Batch 2, potentially leading to new understanding of social innovation among the case researchers. Therefore it is important to have a thorough coding and reflexive interpretation process (cf. 3.3).

Moreover, the protocol sought to achieve a certain harmonization in researcher-case relations, which in themselves can give rise to most diverging kinds of case studies. However, those guidelines and the accompanying report template proved too strict and limiting, prompting some researchers to adapt them in various ways or put different kinds of data than intended in various chapters, defeating the intention of easy and fast comparison across cases. As a consequence Wittmayer et al. (2015) while emphasising a strict focus on three overriding aspects, gave the case researchers free hands on how they would structure the case reports, aiming for more rich accounts giving insight into the social innovation initiatives, instead of more generalized and analytical accounts.

**Extraction.** The case report templates cover one transnational network, two local initiatives, and a synthesis as well as an introduction, a methodological account and an overview of sources. The material of the original 12 Batch 1 case reports together counts more than 1000 pages, and the 8 Batch 2 added more than 700 pages to that count. This obviously leaves the need for a way of extracting information that allows analysis with less sizeable documents. In order to achieve a better access to the reports<sup>2</sup>, the synthesis chapters of each case report provided a first foothold. Based on these synthesis chapters, and where necessary also the more extensive analyses in other chapters in the case reports, extraction into summarizing tables were developed as ‘working tools’. Eventually, this yielded 12 summarizing tables, counting about 20 pages each. For batch 2 the case researchers were asked to fill out such comparison tables. This means that the reports were largely unread by the authors of this document, based on the assumption that the case researchers know what is the most relevant data from the cases to bring forward in relation to themes in this report. This ensures direct and comparable data on specific issued deemed of importance for the analysis in chapter 4-6. The case researchers have also checked, commented and amended the analyses of their cases in this report to ensure reliability.

## 3.3 Analytical generalisation and comparison

There have been arguments back and forth about generalising based on qualitative data but it seems to be generally accepted, even if there is no consensus yet on how it can or should be done. Different approaches and models have developed over the last decades in articles and book chapters where scholars argue about the analytical strength of generalising based on qualitative

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<sup>2</sup> To the authors of this report, who themselves have only been involved with one third of the case studies.



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data (Delmar, 2010; Flyvbjerg, 2006; Kvale, 1996; Mason, 2006; Ruddin, 2006; Tanggaard, 2009). This document bases its perspective of generalising on the understanding stemming from that development. However, there are critique against generalisation and lack of consensus among scholars using qualitative methods, often running along three arguments (Halkier, 2011):

- The inductive reasoning coming out of grounded theory, which lacks abstractions and concepts and thus fail to generalise (Wasserman et al., 2009)
- How the richness and particularities of the data enables sophisticated understandings (i.e. it should not be reduced or generalised as it would lose richness)
- The complexities of patterns and problems in representing complexities due to dynamic co-constructions of data materials or the messy relations between enactments of subjectivities (Halkier, 2011, p. 787)

As noted by Halkier (2011) the last argument comes close to being anti-foundational, i.e. generalisation is neither possible nor desirable, which we here argue against. However, the critique is relevant and necessary to account for.

The first answer is that the basis of qualitative studies must necessarily be much more specific and context bound than understanding of generalisations as universalising (Halkier, 2011), i.e. insight gained from qualitative studies is context-bound. Social relationships and processes of transformation are both unique and recognisable, also referred to as the doubleness of the situation (Delmar, 2010, p122). This is one of the reasons for the wide distribution of the TRANSIT consortium and the case studies, to provide as wide an empirical foundation as possible, possibly illustrating context dependent insights. And secondly, generalising on the basis of qualitative studies must recognise and try to represent the dynamisms, ambivalences, conflicts, and complexities that constitute various overlapping contexts and the knowledge-production processes in relation to these contexts (Halkier, 2011):

*Just as generalizing should not be universalizing, generalizing should also not produce stable representations but rather representations characterized by contingency and instability (Halkier, 2011, p. 788).*

This emphasises the argument for having many comparative cases to build up an archive where context-bound specificities can be drawn forth, cf. 2.6 and as argued by (Ruddin, 2006, p. 807):

*One exercise would be as the basis of generalizations, for which we need a convention of case study procedure that will guide our selection of comparable and comprehensive features of our cases. We further need to construct archives of the cases parallel to those of the legal system.*

The next sections discuss three different ways to make such generalizations.

## 3.3.1 Ideal-Typologizing

The ideal typology is according to Halkier (2011) the most frequent way of producing generalisations, and stems from one of the founding fathers of sociology, Max Weber (1949, p42). He defined it as an one-sidedly focused synthesis of diffuse and discrete empirical phenomena into a unified abstract analytical construct that will never be discovered in this specific form

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*"The ideal typical concept will help to develop our skill in imputation in research. It is no "hypothesis" but it offers guidance to the construction of hypotheses." (Weber, 1949, p90)*

An ideal type is constructed by condensing coded data patterns into a limited number of descriptions that underlines particular characteristics at the expense of others. This was also the process by which chapter 4 in D4.2 constructed typologies on the first batch of cases studies in TRANSIT (Jørgensen et al., 2015, chap. 4). These descriptions were labelled with names representing one type in an ideal typology. And the descriptions were made so to be relevant for the research questions – e.g. how do social innovation initiatives emerge and develop. Table 3.1 shows the three typologies from D4.2 and their categories.

**Table 3.1: Typologies developed in D4.2, chapter 4 and applied as inspiration in this report**

<b>Overall development trajectories</b>	<b>Rationale and purpose of the initiatives</b>	<b>The nature and necessity of transnational networks</b>
<b>Development of independent local initiatives before network formalisation</b>	Save the world – the good example	Networks with service organisations
<b>Directly from one local initiative to network organisation</b>	Emancipation movements	Network owners
<b>Guided expansion</b>	Entrepreneur support	Distributed networks
<b>Simultaneous development and co-influence</b>		Informal networking

These typologies used in D4.2 are more general, covering several dimensions each, than the ones constructed in chapter 4 of the current D4.4. As the total number of cases after Batch 1 was smaller (12 after batch 1, now 20 after batch 2) it was necessary with categories spanning more characteristics not to end up with a one-to-one relationship between many cases and categories, which would bring us no further along the path of generalisation. In addition, like many reports D4.2 was produced under time constraints, and the analysis has been developed since.

The construction of such typologies was quite work intensive, with a round of basic encoding and relational categorising of 12 case reports of up to 100 pages, as the summarising tables were deemed as inadequate for coding. Secondly the whole material was coded a second time in regards to the categories emerging from the first round of coding, to see how they were interrelated by either happening concurrently or in social innovation initiatives with certain characteristics etc. In addition, this second step of developing typologies involved analytical induction or the constant comparative method (Hammersley and Atkinson, 1995, pp. 232–236), or as cited by Halkier (2001 in Bloor, 2001, pp. 66–70; Silverman, 2006, pp. 295–297). The last step was to take the emerging patterns and reduce the complexity even further until we had typologies of 3-5 categories only building on 1-3 dimensions each. The typologies were only constructed on topics where there were meaningful differences between the cases so they could realistically be assigned across all the categories (cf. section 3.3.2)

It has to be kept in mind here that the material available is not interviews or observations but analytical interpretations by the case researchers, with the exception of the case studies carried out by the authors of the cross-comparison themselves, and the typologies has to been seen in this light. This means that it is not a typology of how these social innovation initiatives understand themselves, but of scholar interpretations, although a lot of direct quotes are available. To reduce

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our misinterpretation of the reports the authors were continuously involved in the constructing and writing of the typologies in D4.2.

These typologies are not based on methodological individualism (Jepperson and Meyer, 2011), and the types thus do not correspond to specific social innovation initiatives, i.e. each of the types can represent concurrent development in several initiatives. And the different initiatives may be grouped differently in different typologies focusing on other aspects of the emergence and development.

The problem, as pointed out by Halkier (2011, p 792) in her example, is that many other patterns as well as the overlaps, ambiguities, and other complexities run a risk of not getting represented in an ideal typology. This is addressed by using other types of generalization as well, like category zooming explained in the next section. The analysis done in this document has iterated between the different types of generalization to avoid these risks as much as possible, but they are of course still present.

## 3.3.2 Category Zooming

In contrast to ideal typologies, category zooming focuses, zooms in on, a specific aspect. Thus it usually does not say anything comprehensive about the study but goes into depth with the details and complexities of a single point in the study. The three aspects of part one – emergence, dynamics, and agency – is a form of category zooming. The process of writing academic papers is typically also a type of category zooming, where academics draw out specific data from a larger study to discuss a specific issue, exemplified by the abstracts in part two of this Deliverable.

**Iterations of zooming and typologising.** The emergence and development of social innovations is a specific category, a category chosen as focus in this deliverable by the WP4 team, and thus represents category zooming in relation to all the empirical data and various other possible focus areas in TRANSIT project. The coding in Batch 1 used ideal typologising within this specific category, emergence and development of social innovations, creating the typologies referred to in the previous section. Batch 2 is a hybrid, it again category-zooms within the coding done in Batch 1 and the typologies it resulted on, but also generates ideal typologies from the Batch 2 cases independently of the previous coding. Without doing ideal typologizing on Batch 2 independently we would risk losing certain insight springing from the unique cases and our altered case research approach.

The themes taken up in the papers outlined in section two are in this way also based on category zooming. This iteration between ideal-typologizing and category-zooming may be a bit unusual, but other empirical examples of typologising like Halkier (2011), use it on markedly smaller single case studies. The size of TRANSIT makes it necessary to iterate to arrive at aspects specific enough for us to say anything definitely; alternatively this report would have taken up hundreds of pages. Thus, this report is not a full analysis, but a careful unfolding of chosen areas. The danger of this approach is that the areas of focus chosen are not the most interesting in relation to transformative social innovation; this however would not affect the appropriateness and quality of the hypotheses that are made. This danger has been tackled through a very thorough and careful process of

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selecting these areas of focus, a process which as explained elsewhere involved producing D4.2, D4.3, D3.2, and the theoretical integrations workshop in Norwich (Jørgensen et al., 2015; Wittmayer et al., 2015).

**Comparability.** An advantage of this method is that it ensures that what is compared across several cases is sufficiently identical to be analytically compared (Halkier, 2011, p792). In practice, single categories are placed in context and their non-essential character is underlined. In TRANSIT this advantage is especially important due to the wide variety of social innovations studied, and was incorporated already in the guidelines for the second batch of case studies, based on D4.3, to ensure that the empirical data will be sufficiently comparable for the categories that have been used to structure this report - emergence, dynamics, and agency.

**A response to ideal typologies.** Category zooming can also be a response to ideal typologies, when scholars feel that they fail to represent some details or complexities, like the topics of the abstracts included in this document. Category zooming can represent contradictions and exceptions, and glide between ideal types. This way of generalising can be used to underline the contingency of types and categories (Halkier, 2011, p793). The category zooming done here makes inferences on the patterns of emergence, dynamics, and agency of social innovation initiatives, but not, for example, on the individual motives for engaging in social innovation.

## 3.3.3 Positioning

In contrast to the previous approaches to generalisation that are applied in tandem in the TRANSIT project, the main point of positioning is that the contents of speech and actions are constituted by the social dynamics like group interactions, negotiations, discourses, and conversational processes (e.g., Jørgensen and Phillips, 2002; Potter, 1996; Søndergaard, 2002). This is also illustrated by more critical perspectives on interview data, arguing that interviews cannot be taken at face value, i.e. there may be misinformation stemming from impression management, identity work, occupational lies etc. (Hansen and Dorland, 2016). In consequence, the inferences and generalisations on the basis of speech and actions in the empirical data must include such communication processes and their potential consequence for the interpretation and analysis (Halkier, 2011). Here TRANSIT has a special challenge, as this report, as well as D4.2, to some degree is based on scholars' interpretations, and thus they, and not us would have to consider such communication processes, which they have done in different ways based on common methodological guidelines. We would then need to consider the communication processes between us and the case researchers. The complexity of this procedure does not diminish the relevance though, and has been addressed through the comparison tables and continued inclusion of the case researchers in reviewing this report and its findings.

This type of generalising is typically conceptualised as voices, stories, positions, discourses etc., with the common characteristic being that subjects can occupy these positions in various degrees in different situations and negotiate between in the same situation. This relates to the instability of the individual in an interview situation and the contradictions that may result (Hansen & Dorland, 2016), and thus enables scholars to represent some of the communicative dynamics that constitutes the social construction of categories, relationships and processes.

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This type of generalisation can be built in two steps. First going back and do a selective coding of interactions where categories central to the question at hand is taking place - for instance the definition of the various terms and concepts used in the interviews, or merely just the objective and subjects of the case study and why they should participate, what they might get out of it. This will then form the following interviews or conversations. In TRANSIT, this type of generalising among other have taken place at a theoretical integration workshop where all case researchers were present, to streamline and negotiate the understanding of the case studies as well as the basic concepts used in TRANSIT. This process fed into D3.2 and D4.3. While this in itself is a process worthy of study, it here served to eliminate the necessity of analysing the communicative process between the case researchers and us, by streamlining our understanding.

## 3.3.4 Conclusion

This chapter outlined and discussed the approaches and issues of analytical comparison and generalisation as well as how TRANSIT tackled the challenges in doing so. While there are many arguments against generalisations based on qualitative material, the approaches we took are generally accepted. Authors of this report have used all of them in various ways, as one type of generalisation often leads to questions best answerable by another type, especially in projects of the size of TRANSIT. The topics used to structure this document are developed through ideal typologies to some degree, and were chosen as categories of focus (zooming) to ensure greater analytical comparability in this second batch of case studies. This does not offer a complete analysis of the cases, which will then gradually come through academic publications that delve into the various aspects (see part 2 of this Deliverable for some examples).

In Chapter 4 about emergence both category zooming and ideal typologies are used, focusing on predefined aspects but creating ideal typologies within them.

## 4 Emergence of transformative social innovation

The chapter is summarising and comparing findings in relation to Question 1: *How does SI emerge? How do SI-initiatives, SI-networks and the 'SIs themselves' relate and develop through space and time?*

The chapter aims at developing an overview of the time lines of the studied social innovation networks and an overview of the different types of network structures.

The chapter covers the following questions (Questions 1.1, 1.3-1.6 in D4.3):

- What exactly is 'socially innovative' about the SI-initiative? How and to what extent do which ideas, objects and/or activities that they are working on imply/demonstrate a change in social relations and new ways of doing, organising, framing and knowing?
- What is the SI-initiative under study in terms of aims, core values, principles and activities, and in terms of its physical manifestations and artefacts?
- When, how and by whom was the SI-initiative founded?
- How has the SI-initiative developed?
- How does the SI-initiative relate to and deal with established ways of doing, organising, framing and knowing?

The dynamic aspects of the cases are discussed in chapter 6 and 7, which discusses the findings in relation to Question 2 and 3.

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**Table 4.1: Size and geography of the social innovation initiatives and networks**

Size & geography table	Age	Levels			Countries	Initiatives	Individuals	Geography Headquarter	Dominance(?)	
		International	national	local						
RIPESS	18 years (formally)	Several networks	Several networks	organizations involved in social economy activities	Many	Unknown		Virtual	Canada/Francoph one?	
Hackerspaces	8 years (formal) 50-60 years (informal)	Hackerspaces web page	None	Hackerspaces (and various other names)		400 member locations		None	No	
Living Knowledge	14 Years (formal) 30-40 years (informal)	Living Knowledge network (LK)	Some national networks (not directly related to LK)	Science Shops	Mostly Europe	70+ initiatives (400 on mailing list)		Virtual/dispersed	Northern/Western Europe	
Ashoka	35 years (formal)	Ashoka owns all local offices	There generally is only one office in a country, so national and local is the same. Some offices may act as centre for several countries.		Fellows from 70 countries	37 initiatives (offices)	More than 3000 Ashoka fellows.	US	US-based organisation, plus certain locations generating substantial funds (e.g Germany)	
Impact Hubs	8 years (formally)	global Hub association	National hubs		5 continents	63 impact hubs	7.500 to 11.000 local entrepreneurs	Austria	No (developed world?)	
Transition Network	8 years (formally)	Transition network (TN)	National - not all are members of TN	Transition Initiatives	43 countries	1120 initiatives	N/A	UK - Same office as first local initiative (Totnes)	Historically there has been UK dominance within Transition Network although this has started to change.	
Time Banks	5 years (formal) 30-180 years (informal)	H0urworld (2010)	National/regional networks	Time banks	Many (US & UK is the focus here)	600 time banks (US & UK)	25475 members (US)	Dispersed	No	
Credit Unions	25 years (Formal/	WOCCU (World Council of Credit Unions)	Several national	Local credit unions	14 countries	26 members (FEBEA)	almost 1 million clients in	Almost virtual organisation, 1	<del>Seems to be a southern</del>	

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	Norwich) 150 years (informal)	covers 105 countries  Global Alliance for banking on values (GABV) that gathers 28 banks (some of them are also members of FEBEA)	networks		(FEBEA) 105 WOCCU		Europe	person in Brussels	<del>European dominance</del> NO	
DESIS	2 years (formal) 3 years (informal)	DESIS network	Some national networks (self- organized)	DESIS labs	23 countries	48 schools involved (2014)	N/A	Italy (to be changed every two years)	International	
FabLabs	13 years (formal)	Fab Network and MIT (numerous institutions)	Some national networks	FabLabs	60 countries	440 FabLabs	Many	US	No	
GEN	20 years (formal) 450 years (informal)	Global Ecovillage network; 5 continental networks, Youth Network NextGEN	National associations	Local villages	In more than 60 countries worldwide	400 villages on GEN data base(57 GEN members) Some articles list 15.000 villages globally.	Difficult to estimate: more than hundred thousand	GEN International has its headquarter in UK, each of the 5 regional networks in every continent has. GEN Europe has its headquarter legally in Germany, also an office in Spain since recently	Strong in Europe and the global south, especially Africa (Senegal) and Latin America.	
INFORSE	41 years (formally)	INFORSE	National energy organisations	A number of local members in each country	In 35 European countries, but also in countries outside Europe	80 members in Europe, 145 members totally (2016)	Many – one of the Danish member organisations has 1500 individual members	European secretariat in Denmark	Europe, Asia and Africa	
Seed Movement	40 years (formally) 200+ years (informally)	Several international networks / not unified	Several national networks	Festivals, Associations, NGOs, informal groups	Many	Unknown	Unknown	Dispersed		

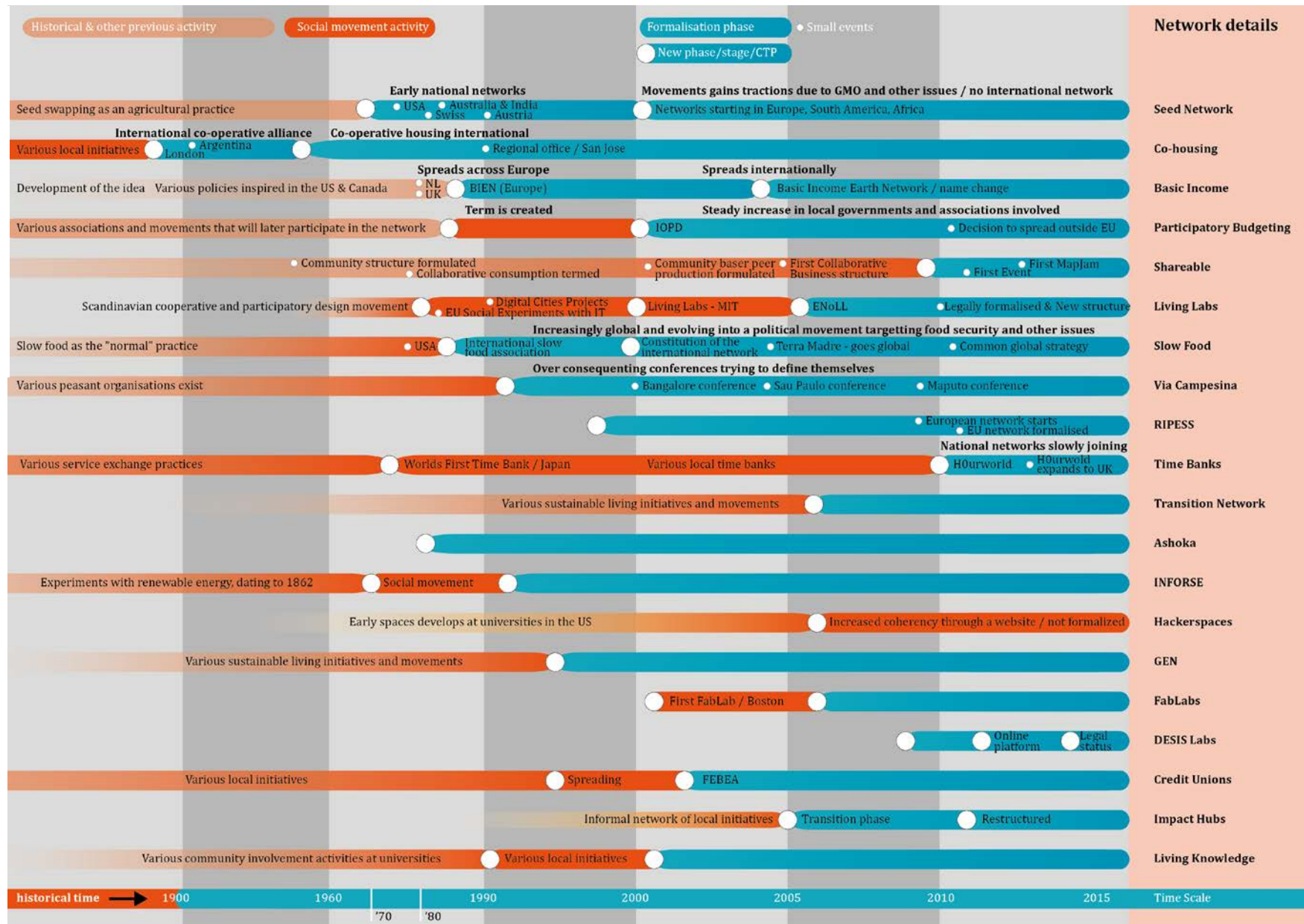


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Co-housing	170 years (formally)	International cooperative alliance / international co-housing	Several regional & national offices	Neighbour-hoods, apartment blocks, communities	Many	Many	Likely millions	Belgium	Northern Europe	
Basic income	Network: 30 years Concept: 200+ years	BIEN (which includes 2 transnational affiliates (UBI-Europe; UBI-Africa)	Several national networks (national level is “local initiatives” studied)	Provincial, regional or city-level initiatives	23 countries	23 national initiatives, many of which comprise local initiatives (e.g. 40 local groups in Germany)	200+ BIEN life members + the several thousand members of its national affiliates (e.g. 400 in the Republic of Korea and 4,000 in Germany)	Virtual (current Executive Committee is based in Italy, Spain, Norway, the UK, Qatar, Mexico, and Japan)	Europe and North America	
Participatory Budgeting	15 years (formal) 30 years (informal)	IOPD / does not encompass movement	Several national networks	Local city councils		1500+ cities	Many	Spain / Barcelona		
Shareable	7 years (formally)	Shareable / does not encompass movement	No national networks (within shareable)	Sharing Cities	Many countries	54 sharing cities		USA / San Francisco	USA (35 out of 54)	
Living Labs	10 years (formally)	ENoLL		Living Labs / very diverse	53 countries, mainly Europe	395 Living Labs (+/- 170 active living labs)		Belgium	France and Spain (111 out of 392) – council dominated by Spain and Finland	
Slow Food	30 years (formally)	Slow Food international association / does not encompass movement	A few national networks	Many local “Convivia”		1 500 Convivia	100 000 Members (paying) 1,000,000 supporters	Italy		
Via campesina	23 years (formally)	Via Campesina	Several regional secretariats	Peasant organisations	73 countries	164 organisations	200 million farmers (beneficiaries)			

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Figure 4.1: Timelines of the 20 case studies



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The diagram in figure 4.1 on development details of the various international networks is made from the comparison tables supplied by the case researchers, and build therefore on their interpretation of which dates and events that are important. The reports have not been scrutinized. There are three different stages pictured in the diagram:

- Historical practices, ideas, and activities that somehow is linked to the contemporary network.
- When a social movement developed that to some degree can be identified as an entity and a predecessor to the international network
- Lastly a formalization of some kind leading to an international network. There can also be several stages in formalisation and development, depicted by large white circles.

While this diagram attempts to illustrate the differences of the networks it is far from detailed enough to convey all the details. The degree of formalisation is largely lacking in the illustration, where only hackerspaces have been deemed as completely non-formalized. The Seed Movement could also have been seen as more of a social movement than a network as there is not an international network covering all European initiatives. A network like Ashoka is also much more formalized than Living Knowledge that is not even registered as a legal entity.

The focus of the diagram is time, so the diagram should be seen as a set of timelines. What the diagram does show is when a group of people started working together around a common cause/idea/activity at a global level; first, maybe in an informal way, and later with a gradual formalisation of the different ideas, and activities. The diagram is thus meant to give an impression, a sense of the emergence of the analysed transnational networks, and the differences between them. The diagram does not intend to lead to any conclusions, but rather give an overview that together with the rest of this report may lead to some hypotheses on TSI emergence, dynamics, and agency. The above diagram provides a general overview of the evolution periods of the cases and their differences. WP5 will contain more analyses of timelines and will provide specific timelines for local initiatives within these cases.

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## 4.1 Foreword to the typologies

The typologies are generated based on the methods of analytical generalization in chapter 3. However, the nature of TRANSIT is not as straightforward as most of the examples used in the various methodological discussions, where usually one case study is generalised. Here we have 20 case studies composed of 60 embedded cases (20 networks + 40 local manifestations) done in two batches, where the focus and structure of the data reported have changed between the two batches. The second batch have been coded separately before going back to the first batch of case studies, in order to let any characteristics and insight arising from them come to their full right.

The typologies are not meant to be fully exhaustive of the characteristics that can be observed in the cases in the different categories, but are meant to capture the main types, and are expanded to a degree that each network can be found to share some characteristics with at least one of the categories. The typologies are meant to give a broad understanding of the types of observations made in the cases, without being exhaustive, and without having to go into details with all the cases.

Each typology is given a distinct name attempting to capture the essence of the category. Below each category is written the networks that share the characteristics of this category, followed by bullets laying out the core characteristics of the category. The networks mentioned should share all and every of these characteristics unless otherwise noted. However, networks are diverse and may contain local initiatives that both share and doesn't share specific characteristics. For some categories, especially those encompassing many of the cases, a description and discussion of how some of them relate to the category is included below the category, often related to illustrate maximum variation or critical cases as discussed in chapter 3.3.

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Table 4.2: Overviews of the typologies developed in chapter 4

Typology name	Typology description	Comments
<b>Development patterns</b>		
<b>Initiation &amp; Start-up Patterns of local initiatives</b>	<p>Focused on local initiatives: initiation is how the first local initiatives of a network start up, formalise, or in other ways come together to form a local social innovation initiative.</p> <p>This may happen both before or after an international network is formed, and with or without support from such. However, the focus is strictly on the process of starting local initiatives, whether it relates to international networks or not.</p>	<b>Development of independent local initiatives:</b> These initiatives start up unrelated and unaided by international networks.
		<b>Simultaneous development and co-influence:</b> The most distinctive feature of this category, compared to the previous, is that the local initiatives have contact with and influence each other. Here there is an active exchange and development between different local initiatives and the international level.
		<b>Guided expansion:</b> Some regional, national and local branches are actively and strategically founded by international networks..
		<b>Historical practices:</b> This category is in some ways a “joker” category, holding cases that do not necessarily fit specifically in other categories through their varied and changing nature, often due to the long historical development of the initiatives.
<b>Growth &amp; Development patterns of local initiatives</b>	<p>Focused on local initiatives: How have local initiatives grown and developed over time.</p> <p>Some slowly integrate with society and become part of daily life, while others continue to grow without any apparent master plan, and yet others are so dynamic and varied that the development of local initiatives defies a general characterisation.</p>	<b>The integrated innovation:</b> Some local initiatives, after an active and turbulent time, slowly become part of daily life, taken for granted, or in other ways so integrated/embedded in society that it becomes hard to discern it as social innovation. Sometimes networks move their focus into other/new social innovations, and sometimes they slowly fade.
		<b>The patchwork networks:</b> These networks are so diverse that it is hard to talk about any general characteristics of their local initiatives, beyond their diversity. The same network may encompass both festivals, public institutions, NGOs, university departments etc.
		<b>The organic bottom-up growth:</b> Some initiatives keep growing bottom up, seemingly without any intentional action or strategy of an international network or organisation. They keep growing and expanding without centralised supervision or intention.
<b>Diffusion of international networks</b>	Focused on the international networks: How is the international network trying to expand or diffuse its social innovation is the main question here. What is the explicit strategy or process, from the perspective of the international network.	<b>The academics / non-intentional expansion:</b> Some ideas for social innovations starts in academic circles and are spread through conferences, articles, books and other forms of communication and dissemination. The ideas are then picked up by other academics, organisations like political parties and NGOs, or individual citizens.

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<b>Characteristics of the expansion of international networks</b>	<p>This may be through an overt strategy, which is the focus of this typology, although some networks have mostly spread without any intentional strategies or actions, as depicted in the first category. Local initiatives may both be older or younger than the international network, and then join at a later time, or be founded directly by the international network, although this is rare among the cases.</p> <p>This covers the whole “history”, but some networks change over time, and have therefore been divided into early and late phases.</p>	<p><b>The event maker:</b> Some international networks play out related to non-daily activities like yearly conferences or festivals, or more frequent local events like food tastings. Some networks have daily activities, but the events are very important for recruitment/spreading, forming strategies, electing leaderships etc.</p>
		<p><b>Organised expansion:</b> Some international networks actively spread and create new regional, national and local branches. The international equivalent to the guided expansion category.</p>
		<p><b>Service organisations and lobbyists:</b> Some networks have been created/expanded by political decisions like Living Labs and Time Banks in Spain, while others exist and grow through their ability to lobby and affect policy makers. This last type is largely composed of international networks that act as service organisations.</p>
	<p>Focused on international networks: Why are local initiatives joining the social innovation network, which are the local initiatives that join, and how is the joining taking place.</p> <p>Unlike the previous category that focused on the actions of the international networks, this typology focuses on the growth of the international network <i>from the perspective of the local initiatives</i>, i.e. why and how they join the international network.</p> <p>The aim is to explain the nature of the growth of the international networks, by explaining why and how local initiatives became members of the network.</p>	<p><b>Branding and blueprints:</b> Some international network organisations operate as a form of license owners, with legal control of the brands, and providing blueprints in the form of documentations, handbooks, operational guidelines, legal disclaimers etc. Some networks also provide such blueprints without any “brand” or legal requirements for their use.</p> <p><b>Strength in numbers:</b> Some social innovation initiatives need a critical mass to be effective, and so have a natural inclination to join together in national or international networks. Networks that act as service organisations are typically of this type, and they are typically created when a critical mass of local initiatives exist.</p> <p><b>Concept as umbrella:</b> Some membership affiliations give the possibility of funding and other resources, for example from the European Commission. Local initiatives here often exist before a network is formed, and join to get access to resources. Network growth thus consists of co-opting existing social innovation initiatives. This can in some ways be similar to “strength in numbers”, however the purpose is different, as these initiatives join together for convenience and opportunity.</p> <p><b>The socialite networkers - Peer-support and knowledge exchange:</b> Sharing ideas, models, experiences on implementing, operating, getting funding etc. is a core reason for joining an international organisation for many of the cases. In some ways these networks function as extended employee rooms where colleagues can discuss problems in their daily life.</p>
<b>Typologies on the general characteristics</b>		
<b>Manifestations/ Initiatives</b>	<p>Focusing on where and how the social innovation initiatives interact with the world, where they can be countered, how they <i>manifest</i> in the world.</p> <p>Sometimes various social innovation initiatives can seem very abstract, and it is unclear how they</p>	<p><b>Physical Spaces:</b> All these social innovations have a specific place that actors go to become part of or in other ways interact with the local initiatives or the international network.</p>
		<p><b>Virtual Spaces:</b> All social innovation networks have web-pages, while it is not central to their purpose for all of them, for these networks it is often at the core or at the very least very important for their activities if not vital.</p>



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	<p>interact with the world. If someone was interested in seeing them or becoming a member, where would they go and how would they interact with the initiatives? Space is an important aspect here, although a few networks relate very little to specific spaces.</p> <p>It is important to remember that these categories are not mutually exclusive.</p>	<p><b>Temporary Spaces:</b> There are no offices, no web page carrying out essential activities, the temporary space is both the activity and the manifestation of the networks. This is mostly related to event type networks, as explained above. They may have webpages and other spaces, but the temporary spaces are essential.</p> <p><b>Artefacts:</b> These networks and local initiatives play out in relation to specific objects, often physical like seeds or production equipment, but virtual artefacts like software is just as relevant.</p> <p><b>In affiliations – social relations:</b> These networks and local initiatives exist through and manifest in social relations, without the social relations they would likely not exist. In Living Knowledge the reason for joining is to become share in the social relations in the network, in ENoLL it is also the social relations, as part of the label that is the reason for being a living lab. All social innovations have social relations, but some networks like FabLabs do not manifest as social relations, however social relations have been necessary for their establishment.</p>
<b>Aims and Values</b>	<p>Aims, values, purposes, missions, visions, are all usually linked together, but may however be distinct from what local initiatives are actually doing, and what is socially innovative about them. The stated purpose of a social innovation network, the values it espouses, the narrative of changes it tells, is the focus of this typology.</p>	<p><b>Sustainable lifestyle movements:</b> These movements are characterized by having, to some degree, a focus on developing themselves and their ideas, although they are also trying to affect actors outside the local initiatives through communication of the ideas and the results. They want to change the world, make society more sustainable, changing the economy to have a more fair valuation or distribution, and other focuses, and they want to do it by example, often experimenting with new forms of living.</p> <p><b>Emancipation movements:</b> These networks are generally ideologically motivated, at least in the rationale behind the networks, and aim at empowering more or less well defined groups outside their own initiatives.</p> <p><b>Entrepreneurial Support:</b> These networks, often service organisations, support entrepreneurial activities. Impact Hub and Ashoka are the obvious networks here, but FabLabs and Hackerspaces, although not service organisations, also enable entrepreneurs.</p> <p><b>Fine-Tuning:</b> Some of the initiatives are not “revolutionary”, but merely envision adjustments within the existing system. It is a discussion of degree whether something is a minor change or revolutionary.</p>
<b>How are the initiatives trying to make a difference?</b>	<p>In difference to the previous typology, this category comprises actual activities and not espoused intentions. This typology is not about what is socially innovative about the initiatives, but the ways the networks try to implement / reach the aims explained in the previous typology. Some of the categories may be akin to a social innovation, like the connection hubs (first category), but this is merely a coincidence.</p>	<p><b>The connection hubs:</b> These networks accomplish their aims partly by connecting different actors with each other. The networks that manifest in social relations belong here, among others.</p> <p><b>Practice/Living focused:</b> GEN and Transition Towns are the most encompassing networks; they try to alter entire communities and lifestyles to become more sustainable. Other networks like co-housing, seed network, or slow food targets specific practises like eating and enjoyment of food, our housing, or agricultural practises etc.</p> <p><b>R&amp;D Centres:</b> FabLabs, ENoLL, and Hackerspaces are all technology focused and providing</p>

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		<p>spaces and tools for developing or producing new technology. Hackerspaces are not explicit about any such purpose, but provide such opportunities. Desis labs are focused on making sustainable design, which does not necessarily relate to technology.</p> <p><b>Support for groups:</b> Credit Unions offer access to finance for social entrepreneur and disadvantaged people. RIPESS is a support organisation aimed at the solidarity economy and any initiative within this area. Lastly, Via Campesina is exclusively trying to support peasants.</p> <p><b>New Policies:</b> Few of the cases studies work explicitly with policy. Basic Income and Participatory budgeting work directly with policy as their main purpose is to affect policy and implement their innovation.</p>
<p><b>What is socially innovative?</b></p>	<p>As many of these cases have been chosen with the assumption that they represent different types of social innovations, it is important to describe what is socially innovative in the cases. This is what this typology focuses on.</p>	<p><b>Social relations in communities:</b> These networks and initiatives work with the social relations in communities, with the practices in daily life, often but not always in relation to the environment and sustainability.</p> <p><b>Social relations between authorities and citizens:</b> Networks in this cluster aim to alter public systems, governance approaches, or policy, in order to change the social contract between the state and its citizens etc.</p> <p><b>Social relations for knowledge exchange:</b> These initiatives facilitate knowledge exchange, which then may lead to other innovations that would facilitate completely different changes in social relations.</p> <p><b>Relations for empowerment / approval, funding, and support:</b> The social relations created by the international networks somehow empower the local initiatives, and that is what is socially innovative about the <i>international networks</i>. The local initiatives are mostly disregarded here, as they are too diverse to discuss in general terms in relation to the kind of innovations they foster.</p>
<p><b>Social Innovation conceptualized as new ways of Doing, Framing, Organising, and Knowing</b>  This last category in the chapter is not part of any typology, but a table trying to see Batch 2 through the conceptualisation of social innovation which these methodological guidelines were based on.</p>		



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## 4.2 Development Patterns

Two of the interesting characteristics of social innovation initiatives and networks is how they grow and spread. First a short note on how we use these words. Spreading is how a social innovation jumps/spread from one place to another. Some initiatives are inspired by developments and ideas from other cities or countries, and decide to start like-minded activities at home, which is one of the ways an innovation is spreading. Alternatively, some social innovation networks actively start/plant new local initiatives in other countries and regions as a type of business, colonisation or missionary activity. The two typologies named **Diffusion from the international network** and **Characteristics of the expansion** both relates to spreading and are focused mostly on the international network.

Growth on the other hand, is how an existing initiative develops and expands. Logically a social innovation spreads before it grows, however there are some mixed cases, where existing social innovation initiatives are co-opted into other social innovation networks, like a FabLab or HackerSpace adopting the label of a Living Lab. So the spread of a specific social innovation, or the identification with or talk about it, can happen independently of how a local initiative have grown and developed. This distinction developed especially during the coding of Batch 2, as such labelling and co-opting of existing initiatives were noted very explicitly. The two typologies named **Initiation & Start-up Patterns** and **Growth & Development patterns** both related to growth and are focused on the local initiatives.

On a side note, sometimes the variance inside a social innovation network is so large that different local initiatives, or different regions, could belong to different patterns of growth. In some networks that international organisation and the local initiatives could be seen as rather distinct and different types of initiatives. Some social innovation networks also change the way they grow and expand over time complicating matters further, making it necessary to group some social innovation networks into early and late phases. Characteristics that only pertain to a specific part of a case are marked with (network) denoting the international networking, (initiatives) denoting the local manifestations. Sometimes a characteristic only related to a specific part of a case, and will be denoted with (Name) referring to the specific local initiative. Sometimes brackets will also be used to specify early of late phases in the development.

### 4.2.1 Initiation & Start-up Patterns

Initiation is how the first instances of a networks start up, formalise, or in other ways come together to form a local social innovation initiative. An issue when talking about patterns of how local initiatives start is the time aspect, as several international networks have changed pattern during their life. Living Knowledge is here a good example, where they initially started independently from each other, and no international network even existed, but after the formalisation of Living Knowledge new science shops were funded through EU projects. Credit Unions is a bit the same. The network (FEBEA) supports some processes of enlargement, but basically, each credit union emerges as grassroots innovations in local or national context. The

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network gives support and advice, but without creating new initiatives by themselves (not like a branch). New associates are welcome but they emerge on their own. To encompass this aspect a category has been made for these networks, however these network may at the same time be present in other categories. These networks have been designated as early or late period to distinguish them.

Another side note, as mentioned in the methodology, these categories are not mutually exclusive. Besides designating a late and early period in the life of a social innovation network, some networks simultaneously grow new initiatives in different ways. Although this might be hard to give an overview over with so few local cases in each network, this may be a relevant question for WP5 in the future.

## 4.2.1.1 Development of independent local initiatives that retain a loose organisation

*Living Knowledge (early), Credit Unions (early), INFORSE, Hackerspaces, DESIS, RIPESS, GEN, Co-housing (late), Basic Income*

- Local initiatives predate network formation
- Initiatives are based on an idea or ideology
- These initiatives tend to have a higher than average age among the sample of cases
- The networks remain loose after formalisation
- The formalised networks are typically only covering a subset of the existing local initiatives in the movement. Sometimes there are competing networks.

**Living Knowledge** like many networks of a certain age are later additions in the social movements they relate to. For instance, the first science shops stem from the late 70s and early 80s while the Living Knowledge network was not inaugurated before 2001. The local initiatives thus started without having any formal contact with other initiatives, and it seems there was a development in that time of similar ideas simultaneously across the countries in northern Europe, as part of a social movement. Some formally adopted the name of science shop, hearing about the concept through it seems random circumstances and connections, while other local initiatives only later even heard about the Dutch initiatives (the original science shops).

**Hackerspaces** are a bit similar, tracing their roots back to university environments in the 60s, while no efforts were made to group them together before the rise of ICT technology in the last 1-2 decades. Some of the local initiatives in Hackerspaces, as the only ones among our cases, actively oppose being seen as affiliated with an overarching movement or organisation.

**Co-housing** is likely the oldest and most historical of the social innovation networks among the cases (late 18<sup>th</sup> century), the way local initiatives started was a mix of different processes, where one of them was an independent development of local initiatives, often associated with workers' social movements and other politically active organisations. The South American initiatives on the other hand seem to have been started with a higher degree of involvement from the wider international networks at the time. The movement is characterised by a very early formalisation of an international network, likely tied to the great social movement of the time.

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**RIPESS** is another type of organisation, a non-specific service organisation not catering to a specific group of social innovation initiatives but targeting the social and solidarity economy and initiatives that can identify with it in general. As such all members existed before they became affiliated with RIPESS, whose purpose is to connect different existing networks with each other.

## 4.2.1.2 Simultaneous development and co-influence

*Time Banks, FabLabs, Transition Towns (initiatives, early phase), Basic Income, Slow Food*

- Local initiatives and membership organisations form more-or-less simultaneously
- Different networks of local initiatives and membership organisations may form
- These may subsequently cooperate, perhaps merging, or may remain as alternatives

A second trajectory is when local initiatives and network organisations are co-formed, which may arise because the operational and supporting functions of the social innovation separate out very clearly. The former constitutes the practice carried out through the local initiatives and the latter constituting complementary facilitating actions and activities that are best addressed at meta-level and provided to local initiatives through a support organisation. It may be that some of those involved in creating the first local initiative almost immediately create an umbrella organisation to support their own and other local initiatives (as was the case with **Timebanking UK and FabLabs at MIT, or Slow Food in Italy**), or that an existing organisation with a more general mandate to support social innovations takes on the role of supporting a specific new social innovation (as was the case with the local **Timebanking** initiative **Health & Family in Spain**), or that a new organisation emerges dedicated to a particular task and lending new impetus to older, pre-existing local initiatives and networks (as was the case with the European Citizens' Initiative for an Unconditional **Basic Income** who triggered the formation of new national groups that joined the BIEN network, and who became itself, as UBI-Europe, a BIEN affiliate on regional level). In this trajectory it is possible for several different network organisations to form, to co-exist and to grow, each with an associated set of local initiatives as members. The membership organisations may be differently constituted, organized and governed and may exert stronger or weaker influence or control over their members and over the ways in which the local initiatives and the social innovation evolve. This may lead to some significant differences between networks. Different dynamics are then possible, including partnership, merger, co-existence and competition among networks.

We can observe, within the **Slow Food Movement**, a processes of “pollination” of the slow food discourse; especially at the beginning (90s), when Italians – or people who had previous contact with Slow Food in Italy- moved to USA, Mexico, etc, and founded the national branches SF in USA, Mexico, Brasil, Argentina, Colombia. Besides, the International Network creates national branches in strategic countries like China, where grassroots initiatives are not permitted or they have to deal with legal restrictions (the network reaches agreements with governments).

The most distinctive feature of this category, compared to the previous, is that the local initiatives have contact with and influence each other. The initiatives in the previous category do not live in isolation of each other, but here there is an active exchange and development between different local initiatives and the international level.

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## 4.2.1.3 Guided expansion

*Co-housing (early), Slow food (?), Ashoka, Impact Hubs (late phase), Living Labs, Living Knowledge (late), Transition Towns (network, late phase)*

- Some local social innovation initiatives initiate directly supported by an international organisation or network
- Support can take the form of funding, staff, knowledge resources, directives (? - pulse from co-housing)

Some international networks actively spread and create new regional, national and local branches.

**Ashoka** is the most direct and controlling in opening new local initiatives owned by them, thus retaining complete control of their expansion.

**Impact Hubs** on the other hand do not own or control local Hubs, but they control their brand and have an approval procedure for new initiatives, so in this way maintain some level of control and guide the expansion. This is however not how Impact Hubs started, as the initially started as independent local initiatives before the Impact Hubs network was created.

**Slow Food** is a global association with big differences between each country or even continent. Sometimes, the level of dispersion is so high that the international network is not capable to "control" what local convivia do. However, Slow Food dedicates resources to support local convivia and national branches, hiring project managers and involving members of each regional area in the international board. Due to the fact that we have interviewed some spokespersons from Europe and North and Latin America, we have the perception that the network tries, at least, local manifestations be real entities with members and local leaders. It is more difficult to them limit the "use" of the Slow Food's branch (Snail, KM0) despite their norms. The European perspective seems to be more "structured", and, for example, the German national association has strong control over convivia. Still, Slow Food controls their brand. The local groups are strongly committed to the Slow Food goals. Some national networks (e.g. in Germany) rule the local convivia financially.

**Transition Towns** at the international level, the Transition Network, are quite active in supporting and promoting the development of the movement in new countries. In fact, that is the main area of growth at the moment. However, initially many of the local initiatives developed according as described in the previous category.

Neither **Living Labs** nor **Living Knowledge** provide any funding for their local initiative, but are placed here tentatively they apply for EU projects together with the local initiatives, which this provides funding. For Living Knowledge funding was also provided directly for establishing new science shops in some of the EU projects. Normally the local initiatives in these networks provide resources for running the international network, the reverse is an exemption to the rule. What can be said in general is that the international networks enable access to resources that would otherwise not have been accessible, even if they do not provide these resources themselves.

**The cooperative movement**, as described in the case study, sent out a pulse to the regional/national branches to start up co-housing initiatives, although it is a bit unclear due to the

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historical nature how the regional branches carried out this order. It also seems like the old European countries were active in spreading the cooperative movement to Latin America. However, modern cooperative movement like the German local case started without support from any international organisation, and so it seems did the original initiatives in Europe.

## 4.2.1.4 Historical practices

*Time Banks, Co-housing, Seed movement*

- These networks change pattern of how new initiatives start over time
- Typically quite old and historical social innovations of 30+ years
- The continuity is often related to a specific practice

This category are in some ways a residual category, holding cases that do not necessarily fit specifically in other categories through their varied and changing nature, often due to the long historical development of the initiatives. There is no single specific way that initiatives here start up, to say anything you would have to focus on specific time periods and maybe areas. Some networks are very old, and so naturally change over time.

**The seed movement** is one of the oldest networks. The movement itself is not that old, but the practice the local initiatives identify with is very old, dating back possibly to early agricultural society, with the local case in Brighton relating to old Celtic celebrations. Earlier there were no social movement as such, as it was a common practice everywhere, only after the green revolution when agriculture became industrialized did anyone see the need for a network to preserve the practice of seed swapping and preservation. A pertinent question here is what is it that has continuity, what is it that we can claim dates back to before the agricultural revolution or even Celtic times in this social innovation network? There is no old local or international initiative, the age pertains to a practice that this network tries to preserve or revive. Given the nature of this network, there is a great variation of how the practice is carried out, as well as a plethora of different initiatives not necessarily directly related to each other or members of the same international network.

**Time Banks** is also old, albeit on a much shorter scale dating back 100-200 years, and embodies the practice of a service exchange, drawing from two historical initiatives (one in the US and one in Japan). This practice could likely also be extrapolated back to a time before civilization, but the members do not seem to do so in the case. Especially the emergence of ICT technology have seemed to change the nature of this practice and how new initiatives start up, as this development enables the transferability of services through time and space, and between individuals, in an easy and convenient way.

**Co-housing** is an old initiative who actually have a firm continuity with the same organisations for more than 100 years. However, how and why co-housing initiatives start has changed a lot. Originally it was a political movement providing cheap housing to the working class, which still seems to be the case in South America, while the local case in Germany (Vauban in Freiburg) is more concerned about sustainability. It is also worth noting the extreme changes in the political environment during these timespans.

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## 4.2.2 Growth & Development Patterns

How local initiatives grow and develop over time is just as important as the initial start. Some slowly integrate with society, while others grow without a master plan, and yet others are so dynamic and varied that the diversity of the local initiatives defies a general characterisation.

### 4.2.2.1 The integrated innovation

*Co-housing (Germany), Living Knowledge/Science shops (?), Participatory Budgeting, INFORSE (?)*

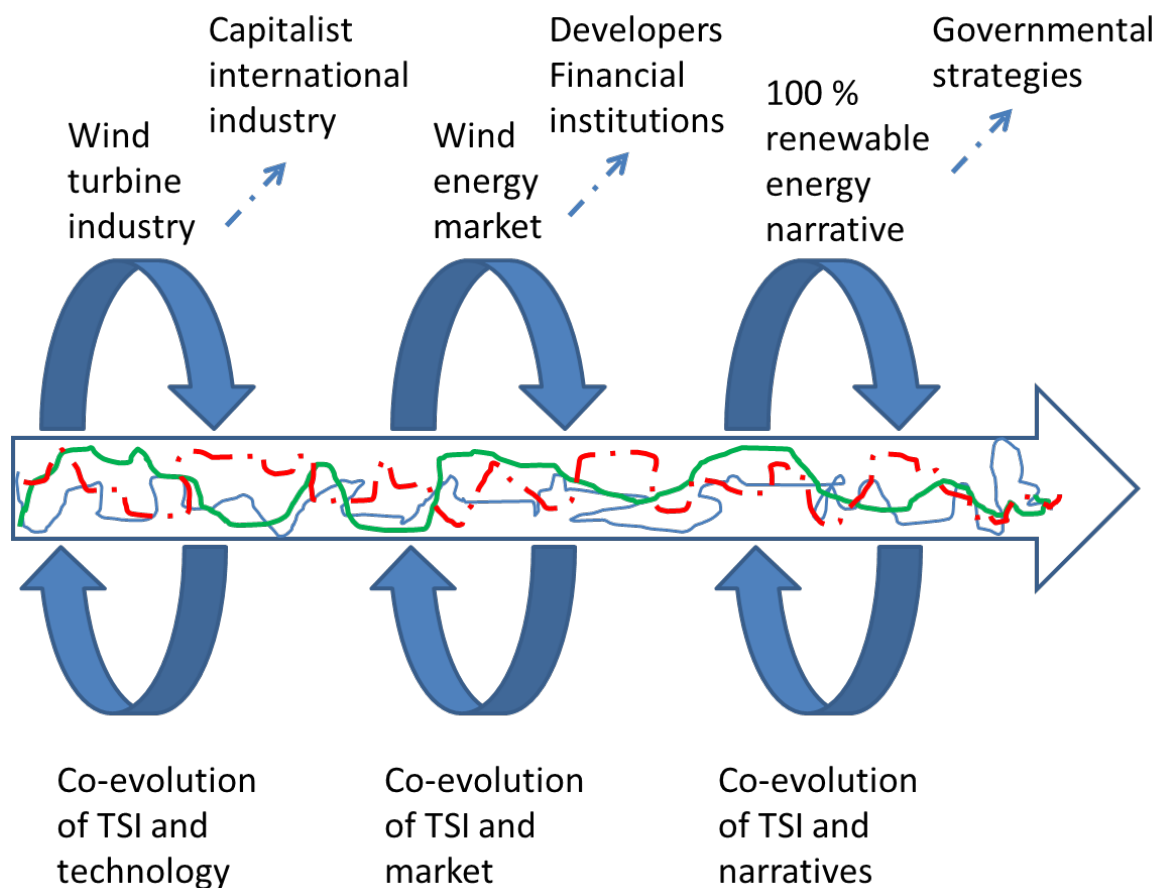
- Becoming mainstream - loss of “uniqueness”
- Innovative practice becomes incorporated into mainstream practice

Some local initiatives, after an active and turbulent time, slowly become embedded in society, taken for granted, or in other ways so integrated with society that it becomes hard to discern it as social innovation. Alternatively, the nature or purpose of the social innovation changes to focus on something new, depending on what is understood as being socially innovation about a specific network or initiative. A pertinent question here is when does something stop being a social innovation? Are windmills and renewable energy still seen as innovative or alternative? The Danish INFORSE member VE is an example of a dynamically developing initiative, when some of the social innovations become embedded in society, the organisation develops new ways of being innovative in relation to renewable energy (see figure 4.2).

**The co-housing initiative in Vauban**, Freiburg, is here a very interesting case. It was initially very active and vibrant, and some parts of it still are, but now a new generation of people are moving in who was not part of the creation of the neighbourhood. This is only the case for a part of the houses and apartments in Vauban. Another part is in the hand of self-organized housing cooperatives and the members decide on the new residents. These families, who are buying these homes on the open market, are maybe not interested in the social movement of co-housing. The result is a decrease in social engagement in the quarter of Vauban. Now, Scandinavia and northern Europe in general have from 10-20% of the population living in co-housing initiatives, as it is defined in the case. In Denmark these initiatives date back about 100 years (“sociale boligselskaber”). However, many people might not be aware that they live in a co-housing initiative. Now it is merely part of the housing market, offering cheap competitive rental apartments. Even if people are socially involved in their local association, it is doubtful that they see it as a social innovation, which is understandable after having lived there for generations. The interesting part of the Vauban case may be that we have observed this development from a social innovation to an integrated one in “real-time” and next to each other, because Vauban is a cluster of different forms of housing cooperatives – some are more top-down planned while other are self-organized and show that they can maintain the engagement while being the minority in terms of numbers of residents.



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## Navigating VE grass root activities developing renewable energy

Figure 4.2: Some of VE's activities are co-developed with others, and – as time goes by – taken over by others. When looking closer into VE activities, discover how VE is constantly manoeuvring in relation to other actors; in relation to conflicts; in relation to opportunities and in relation to the development of the energy system. These manoeuvres are represented by the messy lines in the central arrow (Elle et al, 2015).

For instance in **participatory budgeting** processes, where citizens transfer their vote to somebody else rather than participating in the process themselves, show how an innovation can be reduced through lack of active involvement (Local case Porto Alegre). However, does low involvement or activity imply an innovation has become integrated? It might simply mean that the relevance is decreasing, or that the members and potential beneficiaries are losing interest in the innovation, i.e. they do not necessarily value the benefit anymore. However, it might still be beneficial or socially innovative, but the internal governance has changed. It is important to point out that the episode referred here only refers to the local case in Porto Alegre, and Participatory Budgeting in the Netherlands still gains interest by both civil servants and citizens. So the two local cases seem very different.

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**Living Knowledge**, the international network of science shops and similar community-based research initiatives may be integrated to some degree, although it is not quite common for students to interact with society during their studies, and for researchers to have partnerships with civil society groups. However, this only encompasses part of the equation namely the connection from the university to society. There is no implemented way for disadvantaged groups or CSOs to get into contact with the university. So while parts of the function the science shop carried out, i.e. providing students with some real life experience, have become integrated in institutions and practices to some degree, other parts definitely have not.

## 4.2.2.2 The patchwork networks

*Living Labs, Shareable, Seed movement, RIPESS*

- Local initiative growing independently of the international network
- Very diverse local initiatives which doesn't necessarily have anything in common
- Individuals seem to be crucial
- Interconnects different types of social innovations and networks

Some initiatives are so new and young, still sputtering with energy and enthusiasm, that it is hard to talk about patterns. Others are very young and short lived, serving a specific purpose or being convenient at a certain time, which then passes away, or the local initiatives' engagement with a specific network simply starts to fade or pass into inactivity. Other very old has developed in very different directions.

**RIPESS** has been initiated to connect, unite and create an ideological banner for very diverse social movements and social innovation initiatives around the worlds that somehow pursue economic practices that are more solidarity-based and serving people and planet rather than (only) profit. The intercontinental network-of-networks was founded to bridge the divide between North and South (or between developed and developing) countries. United under the banner of the Social and Solidarity-based economy, the divided (and therefore weak) patchwork was to become a serious counter-force against the neo-liberal course of economic globalization. *Even if uniting* and providing an ideological banner/umbrella, *RIPESS has the self-understanding that it remains nevertheless a patchwork* of similar yet also diverse initiatives, developing under very different societal conditions.

**Living Labs**, at least the **Manchester initiative**, is a good example here. The main living lab was eventually closed down, but served a purpose in starting up projects and making international connections, while it lived. The remaining Living Labs in Manchester are still alive, and very active, but they hardly identify with being Living Labs although they are listed as members, so in this sense the network could be called passive or inactive. Because of these characteristics it is impossible to say anything about the growth patterns of the local initiatives. They are also very different; one of the Living Labs in Manchester is a yearly festival, while another is a non-profit digital innovation organisation committed to science, technology, arts and culture, which among other things also hosts a hackerspace. The case of the **Eindhoven** living lab *seems* more connected to the network as it currently is (since 2016) an effective member of ENoLL and that means that it now has a strong tie with the network. However, if some (political) circumstances had changed into another direction this type of commitment to ENoLL would not have been likely during the interviews the position of Eindhoven within ENoLL was still unclear. However, it was clear that the experiments



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that are labelled as living lab initiatives in the city have much more solid support and are likely to sustain regardless the type of connection that the initiative has with ENoLL

**Shareable**, especially the initiative in **Nijmegen**, is composed of numerous other local initiatives like Repair Café's and car sharing, which do not really identify as members of the Shareable network, and have little in common with each other. They only very broadly share a type of practice involving sharing of resources, be it knowledge, competences, or physical things like a car or a garden. Their rationale for doing it, and how they identify with their activities, vary broadly. Of course, it depends on who is defined as the local initiative, if it is the people responsible for Shareable Nijmegen or the local initiatives on the bottom of the structure that shareable Nijmegen is composed of. Here we tend to view the very bottom of the organisational structure, the individuals and the initiatives they are active in, as the focus. These are where the growth takes place, and the foundation of Shareable is built.

**The seed movement** is in many ways an odd one compared with the other cases. Some local initiatives start from a family history of farming and seeds passing through the generations, other start from a fight against big corporations trying to patent seeds, as well as fights for food sovereignty and diversity, and others against build on hobby gardeners who do seed swapping as a hobby. There are also different international networks, and we might speculate that we are talking about different social innovation activities and movements that are only bundled together in the TRANSIT project under a common denominator due to an association with seeds and agriculture. However, they are tied together by the practice of seed exchange and their support of agrobiodiversity. So although the disparate roots of the various components of the movement may seem like a patchwork, they are tied together through an overall goal.

## 4.2.2.3 The organic bottom-up growth

*Basic Income, Via Campesina, Desis labs, Living Knowledge / Science Shops, Credit Unions, Time Banks, GEN, Seed movement*

- Local initiatives, at least initially, grew independently of any network
- Despite their independence they share core ideas and activities
- Growth often depends on serendipity
- Inspired by ideas, ideals, and/or practice

Some initiatives keep growing from the bottom up, seemingly without any intentional action or strategies of an international network or organisation. They keep growing and expanding like a plant, without supervision or intention that a building would require.

**The seed movement**, unsurprisingly diverse as it is, is mentioned here as well. Here it is more the practice that is in focus rather than the ideas.

**Basic income** is here a good example, with several waves of new initiatives starting. The idea of a basic income emerged on both sides of the Atlantic more than two centuries ago and has experienced waves of attention at different times and places since. In particular since the 1970s and 80s, and often in tandem with fluctuations in structural unemployment, basic income has been in

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the limelight (e.g. in the form of publications or petitions), and occasionally even on the political agenda (in the context of welfare reform and even implementation of experiments). While BIEN itself does not actively seek to sign up members or form new initiatives, new groups that commit themselves independently to promoting the idea like to acquire the label “BIEN affiliate” and the (academic) authority it lends to their activities. The network has experienced continuous growth since it was founded 30 years ago.

**Living Knowledge** grew in a similar manner, with the idea travelling around, or local initiatives starting up with similar ideas independently, and later joining the international network as they learn about it. Thus there is a degree of serendipity about the growth, who heard something from someone about this type of initiative starting up in the Netherlands back in the late 70'ties and early 80'ties. Especially in these networks that stem from older initiatives (20+ years) from before the time of ICT technology seems to depend on some serendipity. Ideas and knowledge were not so easily flowing.

**Via Campesina** is a bit of the same similar ideas independently starting local initiatives. Local initiatives often start as protest movements reacting against policy measures or other developments, invigorating people to come together to fight. It is thus a bottom up growth with an external trigger though. However, there are also other local initiatives not starting explicitly due to external triggers, service organisations more akin to guilds for farmers, promoting their interests generally. Via Campesina is thus composed of various peasant movements that only later become part of Via Campesina as the organisation expands internationally. How the diverse local movements started and grew are very individual.

**GEN** is based on a decades old communal movement that was inspired by the eco-movement in the eighties. Finally several concrete steps helped GEN to be born: in 1994 the second international meeting was held, resulting in a coordinative secretariat in Denmark funded by Gaia Trust and a website was launched. In 1995 more than 400 members of ecological communities came together in Findhorn ecovillage. After this meeting, 20 ecovillage members decided to formally establish the Global Ecovillage Network (GEN) after the Danish network was established already, funded by GAIA trust.

## 4.2.3 Diffusion from the international network - the method/strategy of diffusion

How is the international network trying to expand or diffuse its social innovation is the main question here. This may be through an overt strategy, which is the focus of this typology, although some networks have mostly spread without any intentional strategies or actions, as depicted in the first category. Local initiatives may both be older or younger than the international network, and then join at a later time, or be founded directly by the international network, although this is rare among the cases.

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## 4.2.3.1 The academics

*Desis (early phase), Living Knowledge, Basic Income, Participatory budgeting, Credit Unions (early phase), Hackerspaces, Time Banks (Early Phase)*

- Slow diffusion of ideas that inspire people with little influence from an international network
- The ideas often stem from or interact with academic circles
- Action is often bottom up, as initiatives are created by locals before subscribing to an international network
- Ideas often come top-down
- There is little intentional behaviour behind expansion

Often these are divided into early and late phases corresponding to before and after an international network starts. In early phases there is then no influence at all from an international organisation, although in later phases there may be a small influence. Some ideas for social innovations start in academic circles and are spread through conferences, articles, books and other forms of communication and dissemination. The ideas are then picked up by other academics, organisations like political parties and NGOs, or individual citizens. The idea of **Basic income** spread in this way, and while it can be said that individuals and groups decide independently to subscribe to the idea, the BIEN network can be accredited with being an active promoter and a constant transmitter of the idea which falls on more receptive ears at times of crisis. In the BIEN case, the 'little intentional behaviour behind expansion' can be perceived in the form of media 'hype' and the chain of media reports and reactions on those through which the concept spreads – notably through the new media. There is a mixture of unintentional exposure to basic income and dispersed contributions that make it 'trending topic' on the one hand, and on the other hand intentional, purposive incitement of media hype and advocacy by network members or independent basic income advocates acting as opinion leaders.

This form of spreading or diffusion is usually bottom up, as individuals work together around an idea that however often comes from the top! Creating their own initiatives from the inspiration they have received. Living Knowledge and Desis Labs evolved in much the same ways, ideas flowing around leading to local initiatives that were later collected into an international network, science shops and design labs at universities respectively. It is important to point out that networks like Desis Labs and IOPD work to provide a common identity and continuously align local manifestations towards a common focus (for example, through regular events). It varies if there was any interaction or not between the local initiatives in the various networks prior to establishment of the international organisations.

## 4.2.3.2 The event makers

*Seed Movement (Brighton), Slow food, Via Campesina, FabLabs (?), Shareable (mapjams), GEN (conferences), IOPD (Network), Basic Income*

- Conferences, festivals, courses or other types of events play a pivotal role in diffusing knowledge and interest
- The activities of the networks often play out in relation to events

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Some international networks play out related to non-daily activities like yearly conferences or festivals.

**The seed movement in Brighton** for instance do not have an office or daily activities but circles around a yearly seed-swapping festival. Other local initiatives, like the local case in Hungary, are different though and may have offices and daily activities, but it is difficult to characterise the movement as a whole as there is no unified seed movement in Europe.

**Shareable and Sharing Cities** expands through map jams where people map sharing initiatives in their cities, enrolling some of them as members while others are connected with a very informal relationship. One of the purposes of mapjams are also not to “reinvent the wheel”, i.e. starting initiatives similar to already existing ones.

**GEN and Via Campesina** both expand and define their own activities through conferences, much like the international IOPD network with their annual conference and “best practice” reward.

The **BIEN network** was founded at the first international conference on **basic income** and there have been biennial conferences in the 30 years of its existence. While initially more academic in character, conferences, especially since the early 2000s, have taken a noticeable policy-orientation and include growing numbers of non-academic, more politically oriented participants. These conferences are the events that bring the community together and a hotspot of debate and activity.

**Slow Food** was also inaugurated at a conference, and the local initiatives largely play out as different food related events. The network organizes 2 big events each 2 years, a number of sectorial events each year and regional branches replicate the model worldwide (if they are able to gain external support). Other international networks also have conferences, like Living Knowledge, but here they do not play as pivotal a role.

## 4.2.3.3 Organised expansion

*Co-housing, Impact Hub, Credit Unions, (slow food), Ashoka, Transition Towns*

- The international network have a direct influence on new initiatives either through directly providing resources or as a gate keepers
- These networks have quite formal and legal organisations
- They have explicit expansion strategies

Some international networks actively spread and create new regional, national and local branches.

**The cooperative movement**, as explained by the case researcher, worked by incorporating existing co-housing networks into their network, and working to promote new co-housing initiatives to the existing members of the cooperative movement. In exchange to just labelling existing initiatives, the movement here actively sought to incorporate existing co-housing networks into a more formal membership structure, whereas networks like Living Labs are very loose and informal. Co-housing is here a separate sub-member of the larger cooperative movement.

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**Impact Hubs** do not in the same way actively expand their network, but they are a formalized legal organisations that own the brand of Impact Hubs, and new members need to be approved, and in this way they have a controlled or organised expansion of the network.

**Transition Towns** has a strategy of supporting national hubs, which is a very overt and organized way of expansion.

**Ashoka** is the most direct in their expansion, as they directly own the local offices, and can thus close them as well, which happened to a Hungarian office (that was later reopened).

## 4.2.3.4 Lobbyists

*INFORSE (?), RIPESS, Living Labs, Credit Unions, Time Banks*

- Expanding or surviving by affecting policy, often through lobbying
- Offer better access to (project based) funding

**Credit Unions** were facing problems and eventual demise pending new EU directives following the financial crisis, which they averted by banding together as an international organisation and lobbying the European Unions for changes to the suggested policies.

**Time Banks** is slightly similar, as they face potential challenges from national tax authorities, and one of the roles of national and international organisations is to handle negotiations with tax authorities and lobby for the interest of time banks.

**RIPESS** is maybe the most archetypical example. It is a pure service organisation existing to handle the interests of its members, and lobbying the EU and global institutions like United Nations as one of the interests.

**Living Labs** is a bit different as it was created and originally funded by the EU and its quick expansion is a direct result of EU policy and funding. It is now a legal entity, an International Non-Profit Association under Belgian Law that offers services to its (paying) members and has no formal ties with the EU anymore. It applies for project funding and lobbies with the EU, but also (and possibly even more) the EU uses the ENoLL network to get access to living lab community.

## 4.2.4 Characteristics of the expansion - describing why and how local initiatives are joining

Why are local initiatives joining the social innovation network, which are the local initiatives that join, and how is the joining taking place. Unlike the previous category, that focused on the actions of the international networks, this typology focuses on the growth of the international network from the perspective of the local initiatives. I.e. why and how they join the international network.

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## 4.2.4.1 Branding and Blueprints

*Impact Hubs, FabLabs, Ashoka, Living Knowledge, Transition Towns*

- Membership necessary to use name, brand, or other resources of the network
- Often blueprints, templates or models are provided in the form of business models, operational procedures, how to set up new initiatives etc.

Some international network organisations operate as a form of license owners. Impact Hubs own the name and brand of Impact Hub, and you need to become a member approved by the network before you can use it. FabLabs are often started by buying a blueprint package specified by the FabLab foundation that entails equipment and consumables, and training can be obtained from MIT. However, it is possible to start a FabLab and use the name without buying this blueprint. Ashoka is a bit atypical, as the local initiatives are not started in the same way as in any of the other case studies; local offices are here planted and owned by the international organisation, who very strictly control the Ashoka brand. Also other networks like Living Knowledge share these characteristics, as they provide a tool-kit for how to start a new science shop, and various other documents like a handbook detailing operational procedures, although this aspect is peripheral in Living Knowledge.

## 4.2.4.2 Strength in numbers - policy fights & lobbying

*RIPESS, Credit unions, time banks, Basic Income, Co-housing, Via Campesina*

- Banding together to increase influence, often targets policy
- Often involves politically active networks

Some social innovation initiatives are somewhat akin to social movements and need a critical mass to be effective, and so have a natural inclination to join together in national or international networks. Time Banks for instance only function when they have enough members to provide diverse services that can be traded. Some networks also face oppositions and/or barriers in the form of legislations and policy. Time Banks in the UK had to negotiate with the national tax authorities to see their activities as tax exempt and such engagements would be difficult for individual local initiatives. Credit Unions on the other hand faced threats from new EU directives following the financial crisis, and had to band together in a European network to lobby the European commission for changes. RIPESS is a bit similar, they are not fighting or lobbying for specific issues, but support the solidarity economy in general, and some of the other social innovations are even members of RIPESS. Basic Income and Via Campesina have as their purpose to affect policy, and because of the nature of this purpose need a critical mass. Co-housing partly like Time Banks need a critical mass to function. Co-housing also historically were a very politically active movement, although it is unclear how active they are in this regard in the contemporary network.

## 4.2.4.3 Concept as umbrella

*Living Labs, Shareable, Living Knowledge, GEN*

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- For older initiatives initiation is often unrelated to inclusion in a specific social innovation network
- Social innovation networks may provide funding or other resources for newer initiatives - but this does not necessarily translate into a firm allegiance or affiliation
- Some local initiatives like the label as it gives them authority, credibility, and/or legitimacy even if it comes with no funding whatsoever
- Very loose social networks more akin to social movements

Some membership affiliations give the possibility of (improving access to) funding and other resources, often from the European Commission. Some of the local initiatives exist before a network is formed, and join up to get access to resources. Network growth thus consists of co-opting existing social innovation initiatives. This can in some ways be similar to “strength in numbers”, however the purpose is different, as these initiatives join together for convenience and opportunity.

This might seem like a harsh description, but from the **Living Lab case in Manchester** or the **Shareable case in Nijmegen**, the different local initiatives hardly seem interested or aware of their membership. Manchester is especially striking as the main Lab initiative in the city closed after they obtained the benefits they wanted, in the form of projects and international connections, exemplifying the labelling for opportunity.

Both Manchester and Eindhoven also ‘make use of’ other networks, such as the Eurocities Knowledge Society Forum. Besides using the ENoLL for its services, living labs also use their ‘ENoLL’ label which they can keep for life, even if they stop paying membership fees. Besides the strong focus on joint project acquisition in ENoLL, there is also a strong emphasis on knowledge sharing during the yearly open living lab days and mainly across effective members and strategic partners. Living Knowledge is a bit different in this regard, as this is not the main function of the network, even though some individual local initiatives rely on and join up because of the opportunity for EU projects and funding. The network also predates such opportunities, although the formalisation of network may in part be because of the increased ability to seek EU funds.

**GEN** (mainly GEN Europe) is also quite active in fundraising from the EU for mobilities and education programs and partnerships (Grundtvig, Erasmus+).

Similar across all the initiatives here is the very loose nature of the networks, the international network have little or no say in the activities and organisations of the local initiatives. Basic Income also deserves a honourable mention, sharing all the characteristics except the acquiring the label for funding opportunities.

## 4.2.4.4 The socialite networkers - Peer-support and knowledge exchange

*Shareable, GEN, Living Labs, Living Knowledge, IOPD, Seed Movement, Slow Food, Impact Hubs*

- The international network functions as a hub connecting local initiatives
- New social relations and knowledge sharing plays a large role
- Diffusion largely happens through labelling existing initiatives as part of the network, enabling them access to new resources (like funding)



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Sharing ideas, models, experiences on implementing, operating, getting funding etc. is a core reason for joining an international organisation for many of our cases, what we in some cases can call service-organisations. In some ways these networks function as extended employee rooms (or “spaces”) where colleagues can discuss problems in their daily activities. One of the medium-age science shops from the 1980’ties explained that their primary reason for engaging in international networking activities was to get this peer-support, talking with colleagues doing similar activities and facing similar problems, and above all understood the reason and ideology and what they were trying to do, which often lacked among their colleagues in their local organisation. This was before the formalisation of Living Knowledge, but has continuously been one of the main purposes of the network, also in recent years.

**GEN** provides platform for exchange between ancient knowledge, mainly from the South and social innovations from the North. The result is often low-tech innovations like clay and straw building techniques, passive solar power, upcycling and a lot of social innovations like community circle communication and conflict resolution techniques and team working tools.

In **Slow Food**, international events are described as value learning and knowledge exchange opportunities. Besides, as Peace (2008) has remarked, *Terra Madre* or *Salone del Gusto* are critical spaces to transmit SF’s discourses for change, to “spread the word”.by displaying a “number of rituals and discursive events out of which a sense of global community arises” (Peace, 2008:36). Networking events help to build a collective identity, participants feel they belong to a global community which contribute to change the world in a positive way. Symbolism and emotion are strategic to create this community engagement that goes beyond the network, becoming a global phenomenon (as Terra Madre does).

It might seem obvious that one of the reasons for joining an international network is to socialize and do “networking”. This category may be most interesting for the networks that do not share this characteristic.

## 4.3 Typologies on the general characteristics of the cases

While the purpose of this chapter was on emergence and development of the initiatives, a lot of other insight also turned up during the coding on other characteristics of the cases. However, as this was not the purpose of the comparison tables for the emergence chapter, the data provided is somewhat less consistent, i.e. if some networks are not set as part of a specific category it might not mean that they do not belong there, the tables merely did not contain any data related to the specific category. This chapter should then merely be used as an inspiration and insight into what the cases have been about, and not a full analysis of the case reports in relation to these categories.



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## 4.3.1 Manifestations

Sometimes various social innovation initiatives can seem very abstract, and it is unclear how they interact with the world. If someone was interested in seeing them or becoming a member, where would they go and how would they interact with the initiatives?

### 4.3.1.1 Physical spaces

*Impact Hubs, Desis, GEN, Credit Unions, FabLabs, Hackerspaces, Transition Towns, Living Knowledge (early), Co-housing, ENoLL (Living Labs)*

- The social innovations manifest in a specific physical space
- The space plays an integral part in the activities of the social innovation

All these social innovations have a specific place that actors go to become part of or in other ways interact with the local initiatives. FabLabs, Hackerspaces, Desis Labs, Impact Hubs and ENoLL these are workshops, offices, or laboratories. Transitions Towns, GEN, and Co-housing relates more to neighbourhoods, towns, apartment complexes or just houses. Science Shops tried to fashion themselves as a physical “shops”, where citizens could come to “shop” for research aid, or sell their projects, although this over time moved to a more virtual model. In all these initiatives the purpose was in itself in providing a physical space or their activities could not be carried out without a designated physical space.

### 4.3.1.2 Virtual spaces

*Time Banks, INFORSE, Living Knowledge (late), ENoLL, Transition Towns, Basic Income/BIEN*

- There is a distinct virtual space that is integral to the purpose of the social innovation initiatives

All social innovation networks have web-pages and back-end interfaces; however it is not central to their purpose for all of them. Impact Hub for instance could also function without a homepage or without its interface, and so would a FabLab. The later model of Science Shops would not, as the homepages act as the storefront where all contact is made and projects often facilitated between civil society and the university. The whole Living Knowledge network do not even have a physical manifestation, it is embodied in a webpage that contains an archive of all Living Knowledge projects to date, as well as various tools for new initiatives, and contact details to various network members. Without the homepage you could argue that Living Knowledge essentially would cease to exist, as there is no staff either. Of course, the social relations that Living Knowledge is a manifestation of would still exist. For ENoLL the website is very important, it also has a knowledge sharing part only accessible for its members. For Transitions Towns their Transition Culture blog was really important in the growth of the movement. The BIEN network and all basic income proponents, whether affiliates or not, use the Internet to amplify relevant news, to organise on and off-line activities, to interact and share, and to introduce newcomers to the topic (e.g. on pages explaining the concept and its history). More recently, crowd-funding initiatives are using the web to realise the experience of a basic income for some: whenever a particular sum is collected, a basic income is

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handed out through a lottery system (e.g. € 12,000 become a monthly, tax-free payment of € 1,000 for the lucky winner in the German case).

## 4.3.1.3 Temporary spaces

*ENoLL (Manchester), Seed Movement, Slow Food*

- May not have permanent physical spaces or activities
- Events, festivals, conferences or other temporary physical activities are how these initiatives manifest themselves

The local initiative of the Seed Movement in Brighton is a good example; it is a yearly festival focusing on seed swapping, no more no less. There are no offices, not web page carrying out essential activities, the festival is both the activity and the manifestations of the movement in Brighton. Slow Food is a bit similar, focusing on events related to food in various ways. ENoLL is generally different, but one of the local ENoLL initiatives listed in Manchester is also a yearly festival, here focusing on digital technologies. However, this local initiative seems rather unusual compared to the network as a whole.

## 4.3.1.4 Artifacts

*FabLabs, Hackerspaces, Seed Movement, ENoLL, INFORSE*

- Artefacts, mostly physical objects, play a key role in these social innovations.

The Seed Movement is focusing on seeds, a very specific, concrete, and physical object. FabLabs and Hackerspaces are a bit vaguer, but at least FabLabs are tightly bound to physical hardware like 3D-printer, CNC- cutter, computers, and the products you can make with them. ENoLL, focusing on digital technologies, may or may not be dealing with specific artefacts depending on the local initiative in question. However, virtual artefacts, like a piece of software, are just as relevant. Lastly INFORSE is working tightly with renewable energy technologies, especially embodied in Wind Turbines for the Danish case.

## 4.3.1.5 In Affiliations - social relations

*Ashoka, INFORSE, RIPESS, Science Shops, ENoLL, IOPD, Via Campesina, Shareable, Seed Movement, Impact Hub*

- The affiliations, social relations, facilitated or created by these networks are part of the focus and aim of these social innovation initiatives.

Science Shops connect civil society organisations with researchers and/or students that can help them. These connections and the projects that are carried out through them is how the science shops manifest themselves. **The Living Knowledge** network is essentially also a web of local initiatives affiliated with each other, more so than many other networks, as there is no other manifestations of this network except a homepage that could easily be removed. **Shareable** connect like-minded initiatives together, and like Living Knowledge is essentially a webpage picturing these

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connections. It is however harder to see what these affiliations accomplish, which in the case of Living Knowledge is various very concrete projects and research. **Ashoka** connect their members to an exclusive network of other social entrepreneurs and possible funders, which is a very important part of how they aim to empower Ashoka fellows, even though Ashoka has various other manifestations. **Participatory Budgeting** focuses on and tries to renegotiate the relations between public authorities and the citizens. The **Seed Movement** is also characterize by this to some extent, the build relations around exchanging seeds, so it is tightly bound to their practice. This is also limiting the local seed initiative to scale up.

## 4.3.2 Aims and Values

Aims, values, purposes, missions, visions, are all usually linked together, but may however be distinct from what local initiatives are actually doing, and what is socially innovative about them. The stated purpose of a social innovation network, the values it espouses, the narrative of changes it tells, is the focus of this typology.

### 4.3.2.1 Sustainable lifestyle movements

*Time Banks, GEN, INFORSE, Transition Towns, Co-Housing, Seed Movement, Slow food,*

- Tries to develop a more sustainable society – may have either environmental, social, economic etc. focuses.
- See the current economic system in society as prioritising values incorrectly

These movements are characterized by having, to some degree, a focus on developing themselves and their ideas, although they are also trying to affect actors outside the local initiatives through communication of the ideas and the results. They want to change the world, make society more sustainable, changing the economy to have a more fair valuation or distribution, and other focuses, and they want to do it by example, often experimenting with new forms of living.

**INFORSE** may belong here to some degree, as some members have been active in developing renewable energy and energy savings, other members are living the good example i.e. using renewable energy.

**The seed movement** is also tied to a discourse on food sovereignty and diversity, in part sparked by the emergence of GMO food, but also driven a by personal interest in seed swapping, gardening and agriculture of the members. It is interesting to remark how the seed movement motivations have been adopted by other innovations like Slow Food.

### 4.3.2.2 Emancipation movements

*Desis, Credit unions, FabLabs, Hackserpaces, RIPESS, Science Shops, Via Campesina, Basic Income, IOPD*

- Targeting groups outside the movement

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- Having an ideological purpose to some degree related to democratic and sustainable development
- Some of the initiatives provide infrastructure for cooperation

These networks are generally ideologically motivated, at least in the rationale behind the networks, and aim at empowering more or less well defined groups outside their own initiatives. Take Living Knowledge that focuses on empowering civil society by offering free access to research, connecting civil society organisations with researchers and students. Some **FabLabs and Hackerspaces** may belong to this group, but the local initiatives differ a lot in their rationale. **Basic Income** and **IOPD** have some similarities in that they fight for democracy, freedom, and equality through changes in policy, targeting beneficiaries largely outside their own membership (in the case of Basic Income, it is even considered essential to the concept that the basic income will be a *universal* entitlement). Basic income in particular relates to female emancipation and invokes general ideas about emancipation from paid work and full employment policies to allow people to find and live for their true purpose in life, sustained by a monthly payment to every individual that is high enough to ensure basic subsistence and social participation. Via Campesina as international network fights for peasants, although many of these are enrolled as members over time.

## 4.3.2.3 Entrepreneurial support

*Impact Hub, Ashoka, FabLabs, Hackerspaces, ENoLL, Credit Unions (?)*

- Likewise targeting a group outside the movement
- Developing different types of infrastructure for entrepreneurial activity

The customers of **Impact Hub** - technically the paying members of the local hubs - are regarded as members of the movement and also the target group that the network aims at enabling in their innovative entrepreneurial pursuits and helping to have an impact. Thus members and local Impact Hub organizers are part of their own project to change themselves and based on it, change the world. Ashoka is likewise aiming at empowering social entrepreneurs. FabLabs, according to the Fab Lab Foundation, also aim at supporting inventors, while they also have some focus on making the world a better place.

**FabLabs and Hackerspaces** may partially belong elsewhere, as the movements have an ideological and political rationale behind it. However, the local initiatives' diverge a lot from each other, with FabLab Amersfoort wanting to use the tools of digital fabrication for the good of the community and local economy. The two movements are in general focused on providing help-to-self-help. There are large discrepancies between different members of these two networks in how politically motivated they are. In addition, it seems that some of the local initiatives might as well interchange their movement or network affiliation.

**ENoLL** is a bit in the same "boat" as FabLabs and Hackerspaces, as some labs are aiming at facilitating innovation especially related to technology. However, there is no specific focus on commercial affiliations in either Manchester or Eindhoven (our two local cases) even if some of the spaces provided can be used for such.

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**Credit Unions** provide entrepreneurial support through fundraising activity to the Third Sector (social and solidarity economy) as well as financing profit making enterprises within sustainable/fair production and not-for-profit institutions or associations with cultural, environmental and social goals.

## 4.3.2.4 Fine-tuning

*Participatory Budgeting, Living Knowledge*

- Tries to alter systems rather than changing them

Some of the initiatives are not “revolutionary”, but merely envision minor adjustments within the existing system. It is a discussion of degree when something is a minor change or revolutionary. Like Participatory Budgeting that tries to alter the governance of budgets in cities to involve citizens more. Living knowledge also aims at some minor changes to the university-civil society interactions, but do not aim to alter the basic setup of the universities.

## 4.3.3 How are the initiatives trying to make a difference / strategies and actions

This typology is not about what is socially innovative about the initiatives, but the ways the networks try to implement / reach the aims explained in the previous typology. Some of the categories may be akin to a social innovation, like the connection hubs (first category), but this is merely a coincidence.

### 4.3.3.1 The connection hubs

*Ashoka, Living Knowledge, Shareable, Impact Hubs, Time Banks (?)*

- The innovation embodied in these network lie in their ability to connect different actors
- The changes in society aimed at are often facilitated by these connections and not these initiatives themselves

Living Knowledge explicitly tries to empower civil society by offering free access to research; this happens by connecting CSOs and other civil society actors to the correct researchers and/or students at the university. Science Shops are most often not doing research themselves. Shareable also work to connect all local initiatives in specific cities working with concepts or activities related to the sharing economy together, and thereby empowering by exchanging experience, creating funding opportunities, partnerships etc. Ashoka is a little different, they offer their members access to the Ashoka alumni, but they also have a range of other services meant to empower their members, even though access to their network is an important part of it. Lastly, Time Banks, works by connecting people with each other that can help with the specific task that is needed, and facilities payment in the form of connecting with yet other people that can provide a service a payment.

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## 4.3.3.2 Practice/living focused

*GEN, INFORSE, Transition Towns, Co-housing, Seed Network, Slow Food, Shareable, Basic income (crowd-funding initiatives)*

- These networks try to affect how we live our life or specific practices in our life

GEN and Transition Towns are the most encompassing networks, they try to alter entire communities and lifestyles to become more sustainable. Other networks like co-housing, seed network, or slow food target specific practices like eating & enjoyment of food, our housing, or agricultural practices etc. Shareable is a bit more diverse with initiatives targeting within sharing economy like repair cafes, who try to affect consumer practice - getting us to repair products instead of buying new. Basic income inspired initiatives that crowd-fund and distribute fairly substantial monthly payments for one year are aiming at letting people to experience and see in practice what it means to receive a basic income. These initiatives are meant to make the abstract concept tangible, concrete and understandable.

## 4.3.3.3 Laboratories, Incubators and (alternatives for) R&D centres

*Impact Hub, Desis, FabLabs, Hackerspaces, ENoLL*

- These initiatives are explicitly trying to facilitate innovation, often in relation to technology

FabLabs, ENoLL, and Hackerspaces are all technology focused and providing spaces and tools for developing or producing new technology. Hackerspaces are not explicit about any such purpose, but provide such opportunities. Desis labs have as its main aim to foster social innovation towards sustainability, which does not necessarily relate to technology. Lastly, Impact Hubs again provide a space, here for social entrepreneurs, although not focused on either design or technology, but still entrepreneurship is an activity aimed at producing innovations.

## 4.3.3.4 Support for groups

*Credit Unions, Via Campesina, RIPESS*

- Providing services or support to specific groups

Credit Unions offer access to finance for social entrepreneur and disadvantaged people. RIPESS is a support organisation aimed at the solidarity economy and any and all initiatives within this area. Lastly, Via Campesina are exclusively trying to support peasants. It can be said that what these networks do is not innovative in itself. Providing finance for instance is not an innovation in itself. However, providing finance to a group that never had such access before, is creating new social relations. In the same way the other networks provide services to groups that did not have such support before.

## 4.3.3.5 New Policies

*Basic Income, IOPD, Via Campesina (?), Seed Movement, Slow Food*

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- Aiming at changing policy
- Aiming at changing systems.

As mentioned, few of the cases studies work explicitly with policy. Instead, Basic Income and Participatory budgeting have as their main purpose to affect policy, and to implement their innovation. In both cases, changes in governance and the role of the government are both the means and the end to implement the networks' social innovation (and in that sense, social innovations in the policy-sector and generally changing governmentalities have a role to play in the advancement or implementation of the social innovations. In the case of basic income, for example, local, regional and national governments in different countries are currently developing plans to experiment with basic income (plans vary across countries in terms of methodology, aims and scope). Further, individuals and networks on national and international level have repeatedly organised petitions or, in the case of Switzerland, national referenda. Via Campesina also works to affects policy, but their purpose is to help peasants, and this might also be achieved in other ways.

**Slow Food** aims at changes in the current food production systems to provide good, clean and fair food for everyone. The movement claims "the right to food" as a human right. Besides, Slow Food pursues a change in global and local policies, providing advice and support to governments and institutions like EU (through the Slow Food Brussels' liaison office). Slow Food's political agenda is gaining presence in the international scale, oriented against globalization of non-sustainable agricultural practices (e.g. GMOs) or international treatments (TTIP).

## 4.3.4 What is socially innovative?

As many of these cases have been chosen before a working definition of what social innovation even is, it can be a bit diffuse what the social innovation is in the cases. This is what this last typology will try to shed light on.

However, between batch 1 and batch 2 of the cases TRANSIT produced a working definition of social innovation as "changes in social relations" and a conceptual model of social innovation (Wittmayer et al., 2015, p. 29). This was also included in the methodological guidelines for the second batch of cases.

This means that the researchers for the cases in batch 1 and 2 may have different understandings of social innovation. Secondly, it means that while we can argue that we may observe characteristics of the cases in batch 2 through our conceptual model of social innovation, as the cases have been conducted based on this model, this can hardly be the case for the first batch of cases.

However, in the second batch of cases it cannot be observed, at least not in the provided comparison tables, that the conceptual model have been used consistently. Several case researcher have replied that they did actually use the conceptual model, just not in the comparison tables, as it did not occur to us to ask for it specifically at the time. So a typology based on this conceptual model would not be grounded in observations from the comparison tables but rather an interpretation that goes a step deeper. At a later stage in another document the case researchers



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may be able to bring forth their observations in relation to the conceptual model. Not that all the other typologies are not interpretations either, as explained in chapter 3 all empirical data is constructed (Alvesson and Kärreman, 2011; Alvesson and Sköldberg, 2009), but the issue is with mixing the different types of interpretations together. However, adding another type of interpretation and analysis is always good, as it may bring completely new insight and instil some creativity, the discussion is more where such an analysis should take place, and the idea for including it in the current analysis came too late for the comparison tables and the coding to include it.

Notwithstanding this discussion, in the end a table has been made with the second batch of cases to show how it corresponds to our conceptual model, in a first attempt to see what it can bring to the analysis in this chapter. This is more an attempt to figure out how to best apply the conceptual model in an analysis, and should and will eventually be used for all the cases.

## 4.3.4.1 Social relations and daily life in communities

*Time Banks, GEN, Transition Towns, Co-housing, Seed Movement, Slow food, INFORSE, Basic Income*

- Works with relations between people in communities in their daily life
- Alternative ways to our current systems and ways of living is at the core of these networks

**Time Banks** envisions a completely alternative economy, with relations of trust, mutuality, reciprocity and respect of others that increases self-reliance and reduce dependency on market economy and government welfare systems. It is thus a complete makeover of communities and the social relations in our daily life.

**GEN** provides a place to reinvent a new culture of cooperation, emotional openness and trust (“a new WE”) including new forms of communal organisation and, structures. Through living in intentional communities intimate social relations between people, between male and female, between humans and nature are recreated. A number of social methods and designing tools for resolving conflicts and improving the communication and relationships are applied on a regular basis.

**Transition Towns** combines an innovative (place based) narrative of change with a novel set of organisational processes to support activists in creating localised experimental spaces for new kinds of grassroots project to emerge. The local initiatives can be considered as bottom-up social experiments that trigger changes in people's everyday actions, behaviour, and routines.

**Seed Movement** provides a place to meet around gardening and agriculture, to swap seeds, to exchange practice around growing food. The initiatives included here are very diverse, but local initiatives like the one in Brighton enables new social relations in the community between locals, of people further away depending on who attends. Various NGOs also attend representing fights for food diversity and sovereignty, thus the event also creates new social relations between its members and the movement in general.

Of course, **Basic Income** has not been implemented yet, but discussions about the concept often revolve around possible implications for people's private lives and the communities they live in if



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everybody received a basic income. It is, for example, assumed that people may work less or perhaps stop working entirely to dedicate more of their time to create and care for their local communities, i.e. engage in work and care beyond the family circle. If implemented, the Basic Income would also do away with the stigma often attached to receiving welfare benefits – even if income security is quite generally considered to be a universal right. The very idea of what it means to be a ‘valuable member of a community’ would change, as this value would be uncoupled from achievements in paid labour.

## 4.3.4.2 Social relations between authorities and citizens

*Basic Income, Participatory Budgeting*

- Trying to renegotiate the relationships between the citizens and the state

**Basic Income and Participatory Budgeting** both try to alter the role of the state and their governance: Participatory Budgeting by getting cities to involve their citizens more in decisions on the public budgets, thus creating new social relations between the city council and the citizens. Basic Income implies a change in the role of the government and its relations with the citizens in terms of how money is (re-)distributed and regarding conditions associated with receiving financial support. The monthly payment of a basic income on an individual basis is often described as a leap of faith and trust that policy-makers should have in people in terms of their aspirations and purpose. Basic Income proponents argue that instead of lapsing into laziness, people will, freed from the burden of working full-time, finally thrive and strive. Some cautionary voices emphasise that some people may need support and coaching to find and act on their true purpose in life.

## 4.3.4.3 Social relations for knowledge exchange

*DESIS labs, FabLabs, Hackerspaces, Living Knowledge, Seed Movement, Impact Hubs, Ashoka*

- Exchange of knowledge, experiences, practices, information etc. is a central part of the social relations formed by these networks, if not the way they directly try to transform society

**FabLabs and Hackerspaces** both provide spaces where people can come to meet around activities that they share an interest in, sharing different forms of knowledge, practices, information etc. thus enabling innovations. The social relations created are between the members, and not necessarily anyone else. The innovations that have come or might come out as a results of these spaces are a different discussion, and might potentially result in any kind of social innovation.

**Living Knowledge and Desis Labs** are a bit similar, creating social relations between civil society and the university, trying to draw on the knowledge resources of both to facilitate social innovations. Especially students are an important link in the new social relations between universities and civil society.

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**Seed Movement** facilitate a space where people meet to exchange knowledge on seeds and gardening/agricultural practices.

**Ashoka** aims at building a global community of change makers by supporting carefully selected Ashoka Fellows. There is two new social relations being established here, between Ashoka and chosen social entrepreneurs which provides them with money, but more importantly they offer access to networks that facilitate knowledge exchange. These networks are the second social relations being established. The social innovation facilitated by the various social entrepreneurs is not part of this discussion, and could be of any type.

**Impact Hub** is similar to Ashoka; they host co-working spaces for communities of social entrepreneurs, thus providing them access to a network with a sharing culture, enabling new social relations, and exchange of ideas and knowledge. Again, the social innovations coming out of these communities could be of any type, and are not part of this discussion.

## 4.3.4.4 Relations for empowerment / approval, funding, and support

*ENoLL (international), Shareable (international), Credit Unions (?), RIPESS, Impact Hub*

- The local initiatives cannot be defined as a specific type
- The international network is only indirectly linked to social innovation resulting in societal changes

**RIPESS** is a bit different than the others; it is a network of networks, enrolling various existing networks and initiatives as members, enabling new relations between them. One of its activities are also lobbying the EU and other transnational institutions like the UN, which is a way to alter the social relations between network within the solidarity economy and these actors, to the benefit of their members.

**FEBEA** is yet another kind of international network aiming to empower their members to achieve social innovation rather than doing it directly, here by providing their members with financial services. They also try to change the whole financial system, which is a very direct social innovation in itself, altering the social relations between citizens and finance. Again, the social innovations financed could be of any type, and are not part of this discussion.

**As the case on ENoLL** commented, it is not a blueprint or a model, but a stamp of approval. This means that they have not invented anything new, but merely evaluated existing initiatives and labelled them as worthy of the living labs designation. What this designation does is enabling access for the initiatives to the European Commission and the various funding opportunities they offer, i.e. new social relations with funders. There may also be other potential types of support from the EU commission as well as other actors than funding. The essential part of this category is that the network in itself is doing little social innovation in society, but enabling social innovation between their members and potential actors that can empower them to carry out social innovations in society. What is socially innovative about the local initiatives in ENoLL is a different discussion, and may

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belong to any of the other categories, but is so diverse and belong to various other networks and movements than ENoLL who is merely a label that it makes no sense to discuss them here as a single entity.

**Shareable and sharing cities** are a bit similar to ENoLL. It is a label for various existing initiatives who are often already members of various other movements and networks. And again it is necessary to distinguish Shareable as an international network from the local initiatives, which cannot easily be bundled under such a common denominator. Shareable as quoted in the case describes itself as “an award-winning non-profit news, action and connection hub for the sharing transformation”. Unlike ENoLL it is not directly tied to any EU programs or funding, but it is assumed that the label empowers the local initiatives so they can get funding and other support from public authorities, like city councils.

## 4.3.4.5 Social Innovation conceptualized as new ways of Doing, Framing, Organising, and Knowing

Table 4.3: Dimensions of social innovation for Batch 2 cases

	Doing	Framing	Organising	Knowing
<b>Basic Income</b>	Effects of the new way of organising are assumed to be new ways and particularly new purposes of people's doings.	Re-framing the purpose of life from “earning one's income” to being granted the freedom and time to develop according to personal needs.	Welfare state reform by abolishing the current social security system (complex, bureaucratic procedures related to entitlements) and establishing the simple system of “free money for all”.	Discussions on how to “know” the effects of a basic income. Policy-driven experiments as well as the crowd-funding initiatives are aiming to shed light on that question. BI also brings forward new ideas of productivity and alternative models of how domestic product should be calculated.
<b>Co-housing</b>	May entail alternative ways of living like neighbourhood support, short distances and avoiding traffic (bicycling and walking instead of driving) and car sharing.	Collective ownership and collective responsibilities and decision making, but has mainstreamed in the majority of cases to top-down organisation	Alternative ways of financing and ownership	New ways of participatory city planning, in case of Vauban, Freiburg
<b>ENoLL</b>	Some initiatives aim at developing new technologies to enable	Some initiatives develops alternative and more critical views	Local cities may distribute responsibilities to	

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	new ways of doing	on technology (Manchester)	living labs (Manchester)	
<b>Participatory Budgeting</b>	Entails new practices of deciding and voting on public budgets	New views on what it means to be a democracy (?)	New ways of governance	Citizens gain knowledge on policy cycles, civil servants get insights in citizens priorities. Taken together these kinds of learning are instrumental to emancipation, participatory democracy and promoting solidarity.
<b>Seed Movement</b>	New ways of agriculture and gardening	Showing new connections between natural and social diversity or between social relations and biodiversity	Organizing new social relations around agriculture	Sharing knowledge about seeds and their diversity and the loss of diversity
<b>Shareable</b>		Tries to reframe the whole sharing economy into a coherent movement (?)		Tries to share and disperse knowledge on sharing initiatives among the members, share guides and practice tools for sharing practices
<b>Slow Food</b>	New (or old) ways of enjoying food, back to the roots, away from modern fast and processes food.	Tries to turn focus back to the enjoyment of food, not seeing food as merely nutrition (?), supporting a slower pace of life		
<b>Via Campesina</b>		A new narrative opposing neoliberalism	Working to change governance over natural resources, trying to make public institutions take responsibility for social exclusion	

As can be seen, there are many empty spaces, and quite short descriptions. The comparison tables for the emergence chapter do not have the necessary details, at least not right off the bat, to fill in the table, as it was not part of the plan when the comparison tables were formed. Looking for these dimension when coding might have filled out the table, but the idea of attempting this table came quite late in the process, so it was not part of the coding either, and would have required a completely new round of coding, to get adequate data for the table.

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The case researchers who used the conceptual model, which is not all, have been able to update their networks in the table though, enabling us to see the potential. In conclusion, this attempt to use the conceptual model appears quite inconclusive currently, not because the model is inadequate or not useful, but because the data collection in the comparison tables and the coding of them, never considered the model, and thus did not end up providing adequate data for using it.

The comparison in their totality, and not just the emergence part, may have the necessary data, but due to the sequential analysis process in this report, the data has not been combined.

## 4.4 Concluding remarks

### 4.4.1 On the embedded case set-up

As has become apparent there is a sharp line between the 20 embedded cases on the international network and the 40 local cases. In some instances the international network can be seen as an extension of the local initiatives, while in other instances the international network is a completely different entity doing different activities, having different aims, and a separate organisation. Although it might have been useful, no typology has been made specifically on the differences, similarities, and relations between the international networks and their local initiatives. This has had some implications especially for making typologies, as some networks would be placed in different categories depending on the international or the local initiatives. A pertinent question is what this means for our research.

First, a more reflexive stance towards the definition of a network is necessary, or moving away from it altogether and start referring to the different networks from the various cases as alternately social movements, networks, organisations etc. An alternative could be to term the networks alternately movement networks, organisational networks, informal networks etc. This likely will require further research into the types of organising and relations that we have in the different cases between international and local levels, and in the field in general. The current vocabulary at least has brought difficulties and inaccuracies in the present chapter.

A second point is that this might draw direct inspiration to how social innovation initiatives can be facilitated, as the reason that the group of networks where the local and international activities are markedly different beasts is because the former exist solely to support the later, and not merely carry out the same activities at a different levels/scales.

A last point may be that we are dealing with different social innovations depending on which level we are looking at, or we may even be dealing with different social movements' altogether, which in some way live in a symbiotic relationship. Is for example ENoLL and its various local members really part of the same movement? They may be in the same network, but the local members are at the same time often members of many other networks.

## 5 Dynamics of transformative social innovation

The chapter is summarising and comparing the findings in relation to Question 2 for the Batch 2 cases: *How does the social innovation, SI-initiative/SI-network interact with/contribute to transformative change in its social context?*

The focus is on co-shaping of social innovation initiatives and transnational networks and social contexts in terms of institutions.

This chapter covers the following main questions (Questions 2.1-2.7 in D4.3):

- What are the major changes in the social context (in terms of events, trends, societal framework conditions, institutions, structures and/or discourses) which enable and/or inhibit the social innovation and the SI-initiative, and how (now and in the past)?
- What are important events, trends and societal framework conditions for the SI-initiative and why? Which have been important in the past?
- What are important institutions and structures for the SI-initiative and why? Which have been important in the past?
- How does the SI-initiative relate with dominant discourses and existing/emerging narratives of change?
- What are the relations and interactions between SI-initiative and external actors and how has this changed?
- What is the ambition, potential and impact of the social innovation and the SI-initiative with regard to transformative change?
- What are the unintended effects of the social innovation and of the SI-initiative?

In Batch 1 the same questions were not asked. In order to include analyses of dynamic aspects of the Batch1 cases, the analysis of the Batch 2 cases is combined with some of the cross-case analyses of Batch 1 cases in D4.2:

- The external governance part of D4.2
- The societal transformation analysis in D4.2 which includes some observations about dynamics and impacts.

Underneath is shown a figure from the methodological guidelines D4.3 illustrating the approach in research question 2 to dynamics of social innovation in Batch 2.

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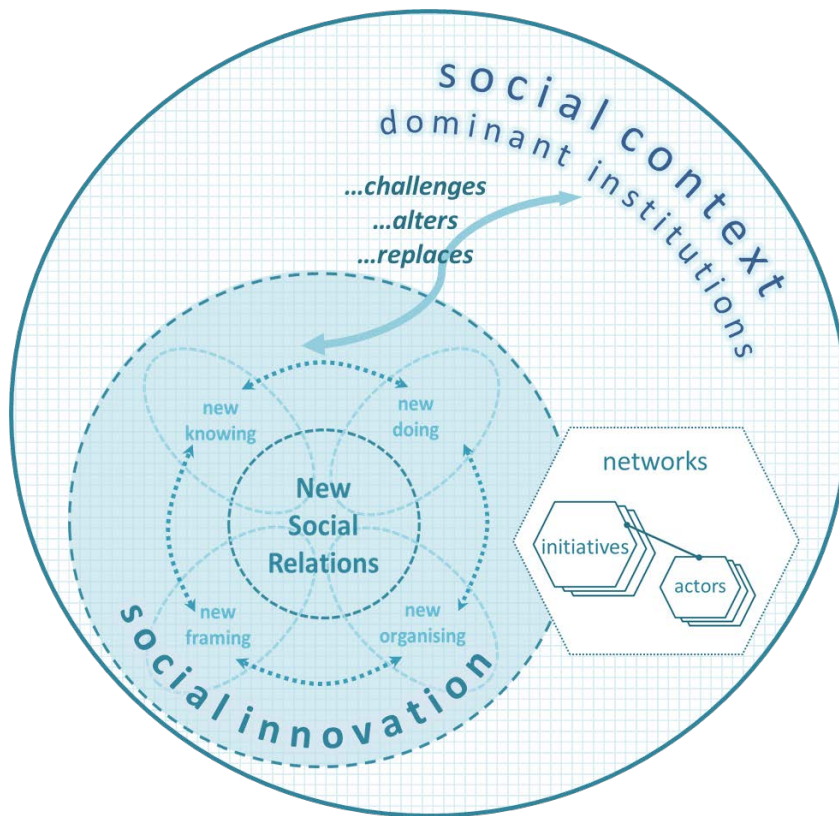


Figure 5.1: Conceptual model for dynamics of Transformative Social Innovation (from D4.3)

## 5.1 Observations about the different aspects of Dynamics in the Batch2 cases

Table 5.1 has been developed based on information in the Dynamics section of the Batch 2 summary tables for the network level and the local manifestations. The information is organised into five columns and into three summaries for each case, one for the network level and one for each of the two local manifestations.

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Table 5.1: Dynamics of social innovation in Batch 2 cases

Batch 2 case	Societal framework conditions	Interaction with institutions	Interaction with discourses/ narratives	Impact, including unintentional effects	Transformative potentials and ambitions
Basic Income (BI)	<b>Network:</b> Despite many differences, European countries, especially North-Western European countries face similar issues regarding welfare arrangements. Therefore BI-related ideas, discussions and activities spread easily across national borders.	BI network contributes to the design of BI experiments.	Major political discourse arguing for BI criticises current welfare arrangements (unemployment, lack of social focus in employment initiatives, etc.). Is anti-capitalist, green and/or sometimes feminist. Also support for BI from centre-right due to problems with current welfare arrangements.	Political activity around BI has increased, especially since the early 2000s, alongside increased media coverage and societal activism. Not yet a full implementation of a BI scheme.	Potential effects seen as welfare effects (including better health), equity effects, economic effects and emancipatory effects.
	<b>Germany:</b> Founding of the German network response to the “Hartz-reforms” of German labour and unemployment policies.	The major (changes in) institutions and structures that the network relates to are the institutions of the German political system and the national fiscal, labour and unemployment policies they develop and implement.	The Netzwerk GE is aware of the importance of discourses and seeks turning BI into a hegemonic idea when it comes to political reform of fiscal, labour and unemployment policies.	Transformative impact of the Netzwerk alone is hard to assess because the public and the political discourse is shaped by many actors, including very prominent figures and others who promote BI through different strategies.	A number of specific initiatives can be traced back to the Netzwerk.
	<b>The Netherlands:</b> Changing support for BI like a ‘hype cycle’, explained through the economic cycle and the associated changing unemployment rates.	Recent wave of BI-inspired experimentation benefits because local governments are frustrated about the national policy framework and its restrictions to economic	Simple and fair alternative to the inefficient, alienating and overly complex constellation of social security and tax arrangements.	The impacts of local initiatives quite limited. BI popularity drops around 2000. Current interest in local experiments only partly ascribed to local manifestations and	One local manifestation wants unconditional BI implemented universally. The other local manifestation seeks to stimulate societal debate



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		benefits for unemployed, which local governments have a hard time implementing in their local contexts.		more based on local governments' frustration with national social policy.	about BI
La Via Campesina (LVC)	<b>Network:</b> Globally LVC has generated the perception that there is a problem in the way food is produced. Climate and food crises produced by capitalist development.	Confrontation with international financial institutions like World Bank and International Monetary Fund (IMF) made these agencies seek other strategies to divide the LVC movement from foundations providing funding for social organizations. Aiming at moving the axis from the peasant and enhancing other rural actors.	Proposes to recover ancestral knowledge on agriculture and the appropriation of the principles of agroecology to enhance Mother Earth and the life and culture of the peasants.	Action based on newsletters, videos, social networks, courses, seminars, conferences, collective practices, training strategies, literacy groups, peasant universities, and partnerships with public universities, made it possible to strengthen the socio-political base of LVC	The vision is food sovereignty based on agro-ecological peasant agriculture. Food sovereignty based on agro-ecological peasant agriculture offers solutions to the crises and ensures a life of dignity for farmers.
	<b>Argentina:</b> Socio-economic crisis erupting 20th December 2001 in Argentina helped to multiply, create and consolidate new social movements. MOCASE-LVC achieved a strong social recognition at a national level.	Opposes monoculture, use of agrochemicals, and use of transgenic seeds, all of them associated with the agro-business model.	The farmer identity is related to a particular way to cultivate and live the land and is based on the struggle for food sovereignty and real agrarian reform that implied the return of the land that was expropriated by landlords.	Through a combination of struggle, resistance and direct and indirect confrontation, the MOCASE-LVC made the land evictions stopped being "silent" and the territorial conflict become public and visible at a national level.	Future transformative potential of the initiative could be a social change through an organized farmer movement, fighting for what belongs to them, especially for their lands and development of an agro-ecological production model
	<b>Hungary:</b> During 1990s compensation of former land owners as privatization or re-privatization. Adaptation to market economy, made farmers cut	Government supports family farming, in order to stop foreign land speculation, land-grabbing and pocket contracts, and ensure rural farmers access and increased control	Regulations of food production, processing and marketing put obstacles to the development of direct marketing of smallholder farmers' products.	53 civil society organizations launched advocacy campaign for modification of smallholder regulation in order to develop support for local smallholder food	Strengthening and increasing the competitiveness of small-scale family farmers in Hungary through top-down and bottom-up mechanisms and instruments of the major Hungarian

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	workforce to increase efficiency and cope with economic depression. Exposure to global competition combined with lack of resources increased rural unemployment induced poverty and migration from peripheral rural regions to urban centres.	over the land.		production and slow down farm-to-city migration. Civil society rebuilding trust to each other and re-learn cooperation: gaining back trust, confidence and respect to others.	civil society organizations.  Increased efforts necessary to awareness-raising of Hungarian consumers towards smallholder farmers' products.
Co-housing	<b>Network:</b> Historically, the welfare state model, developed after WWII expanded social security coverage to the working class. So, the cooperative movement slowed its growth in the mid-twentieth century. During economic crises, cooperatives face capitalist economic concentration and are often dismembered, absorbed or replaced by traditional companies.	From the 1970s, the advance of neoliberal policies favoured a revival of the cooperative movement worldwide. Inhibiting actor for co-housing sometimes the state, sometimes corporations, involved in housing business.	Co-housing movement has aligned itself with new transformative narratives of "end of the century" as ecological sustainability, proper use of natural resources, using renewable energies, freedom and decentralization of information.	The cooperative movement was the major promoter for co-housing. The cooperatives were essential both in Europe and in the world to identify social problems and build alternative links to modern civil society (capitalism and representative democracy).	Promotes direct democracy, collective ownership and socialized control, education, freedom of information and commitment to the community.
	<b>Argentina:</b> Importance of co-housing association EHO affected by the situation in Argentina. When policies favouring economic redistribution or political freedom, EHO had	During economic crises or unpopular situations, EHO had to adjust its scale and scope. EHO was never affected on its objectives and goals. An expansion of the activities	During bankruptcy negative narrative about the action of the cooperative as providers of goods and services was built.	EHO making educational and cultural activities as part of institutional framework of EHO for over 100 years. Most important institution in this area is Institute for Cooperative Education.	Transformative ambition of EHO was and is the right of access to goods and services of the working class from especially housing.

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	conditions to grow.	coinciding with a high inflation in Argentina made EHO bankrupt: buildings were abandoned; supermarkets were taken over by domestic companies			
	<b>Germany:</b> Most active period of Forum Vauban, when citizens were involved in designing the quarter, planning their homes and the surrounding area.	Institutional change with foundation of new district association for voluntary activities in Vauban after Forum Vauban went bankrupt. Enrolled by the City of Freiburg in development of green city profile.	Forum Vauban was aiming at a green, car-reduced district with eco-housing standard, and with affordable housing, planned and managed by its residents. New inhabitants identify less with the Vauban founders' ideas.	When majority of houses were built and residents moved in, engagement for Vauban quarter diminished. Quality of life evaluated high by inhabitants, because of green and car-reduced infrastructure, cultural, economic and educational services and because the quarter is colourful, open-minded, safe, socially cohesive.	Vision was a democratically planned, ecological, sustainable city district with high life quality and less resource needs. Vauban attracts thousands of visitors, esp. majors from around the world to learn from this case. Legal amendment on state level allowing more freedom to create diverse forms of parking lots, for instance for bikes instead for cars. Never copied locally within Freiburg.
Participatory budgeting (PB) (OIDP)	<b>Network:</b> New citizenship enabled by ICT and social networks important enabler for network. EU enabled network emergence and development through the Urb-AI program developed together with Latin America.	Continuous changes in institutions and structures of social contexts that challenge the diffusion of PB. For OIDP network specifically, there was a relation in its beginnings to the policy framework that was set up by	Participatory democracy aiming at: Higher level of equality, strengthened citizenship and citizens' rights, new responsibilities for democratic activity. Legitimacy and confidence in public power through more transparent decision-making and improved	1500 cities use Porto Alegre as model. Transformative impact from knowledge generation process of network. Civil servants and officers from municipalities bring this knowledge to their local contexts.	Network defines itself as an enabler for participatory democracy in municipalities. Transformative ambition is to reinforce the presence of the State, specifically reinforcing representative democracy by increased participatory governance. Reinforcing the value of localities

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			governance.		and its local cultures.
	<b>Porto Alegre:</b> PB developed as alternative to the military dictatorship in the mid-1980s: For almost two decades social mobilization demanding social and political changes. City of Porto Alegre prominent actor within those massive changes occurring all over Brazil.	Fortification of social movements claiming for active participation in political decisions and a government sympathetic to popular administration contributed to the initial development of PB process.	PB now reproduces governmental logic. PB delegates recognised as a kind of aldermen for the communities. Difficult for community leaders now to quit the changed, imprisoned PB process due to citizen participation.	Two periods (1989-2005 and after 2005) have contributed to transformative change. New social relations has altered the social context and replaced dominant institutions. During second period, new PB set-up re-empowers local government.	Experiences demonstrate PB process is scalable and adaptable. PB process still working, allowing citizens to influence the city's investment plan, but has lost transformative strength in relation to decision-making power in the city.
	<b>Amsterdam:</b> Austerity policies coincide with a decentralisation of social policies focusing on enhanced social participation of vulnerable groups and citizens voluntarily providing informal care to these groups. Local community with high social capital, enhanced by national urban renewal program, background for starting local budget monitoring in deprived neighbourhood.	Community center and neighbourhood budget instrument developed, inspired by experiences from Porto Alegre. Parallel centralisation of budget making at city level with limited district budget. Development of local budget cycle.	Discourses about enhanced social participation of vulnerable groups and citizens providing informal care. Discourses on human rights and reversed development cooperation. Discourses around transparency, open data as outlined above	Citizen priorities influenced local policy plans for coming year. Average citizen of deprived neighbourhood might be excluded from PB process due to complexity of budget process.	Potential to change roles and relations of citizens and local government towards more budget transparency and citizen empowerment. PB idea picked up at city level for adoption in other districts, and by national government, subsidizing pilots with budget monitoring.
Living labs (LL) (EnoLL)	<b>Network:</b> Enabled by focus on innovation, ICT and collaborative experimentation in European policy and funding. Seems less focus	Increased awareness that no institution can deal with societal challenges alone LL initiatives are new forms of collaboration	Co-creation, co-design etc., Experimentation, laboratory, testing, prototyping User centred and user involving innovation	Establishment of 395 ENoLL labelled living labs Over 170 active LLs. Open living lab days and online networking at ENoLL intranet.	Contributing to user-centred, open innovation ecosystems, based on user co-creation approach; integrating research and

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	on LL's after 2010 Financial sustainability hard to achieve, probably because many initiatives rely on public funding, and this influences also the financial capacity and sustainability of the network	between various existing institution and structures, and are they themselves new institutions and structures.	Open innovation; open source Public private people partnerships (PPPPs), triple and quadruple helix SMART (city etc.); ICT: big data, open data, internet of things	ENoLL publications, knowledge centre Participation in EC funded projects.	innovation processes in real life communities and settings.
	<b>Eindhoven:</b> Existing triple helix cooperation established as follow-up to earlier losses of workplaces in Eindhoven. The challenge is seen as linking up with ordinary citizens, and small scale entrepreneurs and initiatives outside University, Research Institutes and big companies.	Involvement of civil society (organisations) as addition to existing triple helix cooperation. Local government policy addressed the importance of living labs and the 'living lab approach'.	Challenges are seen as complex and interconnected and cooperation as more important than ever. The importance of economic development is not questioned. However, it is considered important that innovation also addresses social and environmental challenges.	Not possible to objectively measure impact of LL. Local research and innovation breeding ground for LL. LL stimulates that city embraces innovative ways to work at a broader scale and put citizens more at the centre then earlier.	The city and its citizens should benefit from the companies' development. Eindhoven as the city where smart products and services are developed and implemented in close cooperation with the end users in real-life settings.
	<b>Manchester:</b> Closure of MDDA (local digital development agency) a major event.	Closure of MDDA	Discourses about cultural economy, digital and smart cities, economic development, job, regeneration, community participation, high tech	LL has had little impact locally – people are already doing it. City council still very active in Smart Cities and living lab type activities, even if LL not used as term any more.	Make sure everyone benefits from ICT
Shareable	<b>Network:</b> 'Digital commons' provide people with universal tools and play a role in building commons 'on the ground'.	Criticism towards centralized sharing companies. Public authorities approached as 'facilitators of the sharing economy' Facilitating the sharing economy possible by adapting current laws and structures to	The dominant discourses related to are the Smart City, the dominant narrative of the 'sharing economy' and the American Dream. Creating the Sharing City as alternative narrative to Smart City. Uses Smart City as straw man	Spreading the idea of 'sharing'. No impact evaluations of the network. Disentanglement of civil society from local State agencies as a consequence of the economic crisis could turn out to be harmful for people that cannot	Wants to offer an alternative understanding of urban development in the form of 'commons'.

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		enable citizens to share food, cars, houses and jobs.	to sketch alternative development that could take place through the Sharing City.	make a deliberate choice' themselves. Urban governments could use 'commons'-discourse to further de-invest in local institutions.	
	<b>Nijmegen:</b> Public decentralization and budget cuts have pushed municipal actors to seek new solutions to achieve municipal policies. Social initiatives forced to find new ways of organizing and financing their activities.	Nijmegen Municipality is pursuing a more flat and engaging policy model which support interacting with local social arrangements.	Sustainability discourse seen as supportive of sharing solutions	A number of the sharing initiatives have become well-known locally and a few nationally. The material impact of these initiatives relatively small, even for nation-wide initiatives as Repair-Cafés.	Create a society driven by the need for giving rather than market forces. Most involved people motivated by the opportunity of doing something they feel important and the opportunity to create a better social network – not driven by a vision of societal change.
	<b>Gijon:</b> Local deindustrialization process over the last decades with social problems connected to it, made it urgent for the city to develop practices that could initiate new developmental trends in the region.	Combination of emerging sharing ideas and practices and modern network technologies such as free software and decentralized networks enabled movement-building processes and the creation of new values. Institutions supportive and facilitating. In some occasions local initiatives inhibited by lack of support, mainly in economic terms, from big institutional actors	Background is the city's cooperative history, and the ancient ritual traditions with sharing at their core.	Gijon is becoming one of the main laboratories for implementation of practices that promote new ways of production and are the result of the interaction between different actors, both local and transnational	Aim beyond profit-led forms of sharing economy; focuses more on creation of social change through sharing economy and creation and fostering of peer-to-peer relationships
Seed movement	<b>Network:</b> At national and regional levels in Europe important part of social	Key institutions affecting Seed Movements transnationally are the FAO	Seed issues are tied to issues of access to land and an alternative to GMOs, self-	Regional and transnational networks inspire local initiatives and at the same	Facilitation of broader social learning processes among the networks would

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	context EU seed laws requiring registration of all seed varieties. In the US patent laws and state laws regarding the definition of seed sales important. Because most networks still work primarily nationally, most important aspects of social context are national laws that structure farmers' and gardeners' access to seeds.	International Treaty on Plant Genetic Resources (ITPGR), the Union on Protection of Plant Varieties (UPOV) convention and its implementation through national laws, and the introduction of GMOs.	sufficiency through the garden. The plurality of framings in different networks reflects the diversity of meanings of seeds in different social contexts.	time local initiatives provide new discursive frameworks for shared goals. Transnational networks also managed to organize successful cooperation to halt EU seed laws and change seed laws to protect seed libraries to continue their work.	help to work out the conflicts and move past their differences in the long-term.
	<b>UK:</b> No major events locally.	No changes in major institutions.	Narratives dominating are seed diversity, sustainability, food sovereignty, the joy of growing food, resisting agri-business, sharing skills.	Raised awareness about seed issues locally; got seed issues into national radio broadcasting.	Get more people swapping seeds, with all that entails and implies. Potential is more local varieties of plants and greater community resilience.
	<b>Hungary:</b> Major societal framework condition is the agrobiodiversity debate about ownership and control of genetic material and availability of seed in informal and formal seed markets providing food systems diversity.	Local founders participated in the civic seed legislation lobbying on the European level that successfully opposed the European reforms to seed law.	Dominant discourse is food self-provisioning, seed sovereignty, and access to seeds.	Seed swapping as positive community events that is not so frequent in today's Hungary. Unintended effect that website and handbook inspired many seed savers to save local landraces and varieties.	Ambition is contribution to transformation of food supply system by promoting self-provisioning and exchange of unregistered seeds. Potential by bringing together a broad coalition of seed swapping organisers and forge links to international networks.
Slow Food (SF)	<b>Network:</b> SF leaders see recent ten years, positive change in societal discourses especially increasing social awareness in	The role of external institutions and structures depends on the regional context. SF has become a relevant	Influenced by environmental movement, social and solidarity economy, labour rights and fair trade. Recently incorporated	SF movement enhance thousands of "food communities" worldwide. Current impact on local contexts: Change in market	Discourse has not yet reached to general public. Transformative potential of Slow Food mainly based on their reputation and expertise in



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	health issues and access to quality food. Healthy crisis (BSE; avian influenza) “critical events” increasing general concern about food quality.	interlocutor to some international organizations.	emerging alternative discourses such as “food sovereignty”. Connecting quality of life with traditional and sustainable food production and consumption and biodiversity conservation.	relations, from competition to collaboration and knowledge sharing; enabling face-to-face contact with producers which build trust and permanent relations between them. Enhances sustainable development of rural communities as preservation of culture and biodiversity.	transforming food system at local scale.
	<b>Basque country/Spain:</b> Change in lifestyles may inhibit the social impact of SF: a more individualized society, with stressful lives where shopping is a necessity to invest little time money.	European agriculture policies (CAP) in the Basque country one of the main restrictions to local and small-scale organic production. The Basque public administrations enhance the rejuvenation of the local agricultural sector offering public lands to young and organic farmers.	Local society is highly environmental concerned compared with the rest of Spain and ecologic discourses have enabled the emergence of grassroots innovations like consumer's cooperatives and SF.	Local SF inspires alternative commercial relations in local food system. SF enhances local and sustainable development of rural communities, related to preservation of culture and biodiversity. Impact on citizen's food education through taste workshops, school gardens and fieldtrips to local slow food producers. Impact on local public policies regarding environment, food, agriculture, urban gardening.	A change in social lifestyles is possible if public institutions, producers and consumers work together to change relations between food producers and consumers. Practitioners confident about capacity to contribute to social, political and systemic change of food production and consumption, local and rural development, environmental protection and environmental education.
	<b>Freiburg/Germany:</b> Focus on education and on organization of practical cooking events. Biggest organization at the biggest regional consumption fair	SFFR does not explicitly intend to act against established ways of doing things. They rather use public arenas in the field of their expertise like a food fair and get	Focus on new ways of cooking, producer-consumer-contact, and socializing (between different milieus) under the common values of natural food. Slow mobile for cooking	Lending logo of the organisation to producers and gastronomy for a year if they support the organisation financially and if they can proof to be seriously active	Aim at providing enjoyment in relation with food, especially by taking more time for cooking and eating, but also for information and education around food, food

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	for several years.	actively involved in traditional contexts.	courses in elementary schools in low-educated areas.	in realizing the aims of SF. The majority of people still have the image of SF as a gourmet club.	production, quality and own food growing.
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## 5.2 Social innovation dynamics in Batch 1 and 2 cases

Similarities and differences in the dynamics of social innovation within the same case study can contribute to the development of transformative social innovation theory. A condensation of the observations of the dynamics in the Batch 2 cases, based on chapter 5.1, is shown underneath in table 5.2 for the network level and for each of the two local manifestations. Three rows are shown for each case: the upper row one concerns the network level and the two other rows concern the two local manifestations. Afterwards follows a table with some observations from the Batch 1 cases about differences in the local social innovation dynamics between the two local manifestations. Similarities and differences in the dynamics of the local manifestations within a type of social innovation can support the development of transformative social innovation theory because focus such similarities and differences in the local co-shaping of a social innovation and a local (national) context can sharpen the awareness about social innovation processes.

**Table 5.2: Condensated dynamics of Batch 2 case studies at network level and local initiatives**

Batch case	2	Social innovation dynamics	
		Network level	Local manifestations
Basic Income		<b>Network:</b> Despite national differences, especially North-Western European countries face since around 2000 similar issues regarding their welfare arrangements. Therefore Basic Income related ideas, discussions and activities spread easily across national borders.	
		<b>Germany:</b> More openness to considering Basic Income since the Hartz reform of German labour and unemployment policies.	
		<b>NL:</b> Hype cycle about Basic Income. Recent openness to local experiments with basic income because of local governmental frustration about the national demands for unemployed persons' benefits.	
Via Campesina		<b>Network:</b> International financial institutions like World and IMF are developing strategies to divide the LVC movement because of confrontations with these agencies	
		<b>Argentina:</b> The organisation has stopped land grabbing/evictions in Argentina being silent.	
		<b>Hungary:</b> Civil society organisations are rebuilding trust to each other. Recent joint campaign against regulations of food production, processing and marketing putting obstacles to the development of direct marketing of smallholder farmers' products.	
Co-housing		<b>Network:</b> An old movement that recently has aligned itself with new transformative narratives about sustainability, resource use, renewable energy, freedom and decentralisation of information.	
		<b>Argentina:</b> Strong interaction between local co-housing cooperative and national economic development. Went bankrupt around 1990, but has got a revival after the organisation regained	

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	ownership.
	<b>Germany:</b> Different interests among generations of residents in Vauban. The limited car ownership has not been copied locally but has inspired new possibilities in local public regulation for parking planning in the B-W state. Vauban is one of the most cited urban green city quarters in the world that has inspired several majors.
Participatory budgeting	<p><b>Network:</b> Many municipalities worldwide use Porto Alegre experience as inspiration, but unclear how much the PB approach actually has been applied in other countries.</p> <p><b>Brazil:</b> PB originally developed as a local, left wing alternative after the end of the military dictatorship. After changes in local government the embedded PB approach has changed to a less participatory approach. But the local community 'leaders' feel it is difficult to leave the PB system. High level of education is not an essential skill for those who are engaged in the PB process and want to change their environment.</p> <p><b>NL:</b> Local POA-inspired budget monitoring developed in deprived area as an institution by active citizens and civil servants. Later centralisation of local economic 'freedom' of districts in Amsterdam did not make the institution go down. The model is now picked up in other parts of Amsterdam and picked up by the national government.</p>
Living labs	<p><b>Network:</b> Living Lab concept seems popular in the EU and the network has been a contact point/partner for the EU</p> <p><b>NL:</b> In the local NL case the living lab approach was "added" to an on-going triple helix process in order to include citizens/CSOs in local innovation processes, because innovation is seen as more complex and in need for broader cooperation.</p> <p><b>UK:</b> In the local UK case the living lab concept does no longer play a formal role after closure of the local living lab but the local activities are continuing.</p>
Shareable	<p><b>Network:</b> Relates to discourses of Smart City, Sharing Economy and individual freedom. No evaluation of the impact of the network.</p> <p><b>NL:</b> Public decentralisation combined with budget cuts has pushed municipal actors to seek "new solutions". City of Nijmegen supports cooperation with local social arrangements like Sharing City Network. Small material impact, even for nation-wide initiatives as Repair Cafés.</p> <p><b>Spain:</b> De-industrialisation and connected social problems forced the city of Gijon to develop "new activities". Gijon is becoming one of the main laboratories for the implementation of practices that promote new ways of production and are the result of the interaction between different actors, both local and transnational.</p>
Seed movement	<p><b>Network:</b> Regional and transnational networks inspire local initiatives and at the same time local initiatives provide new discursive frameworks for shared goals. Transnational networks managed to organize successful cooperation to halt EU seed laws and changed seed laws to protect seed libraries in order to be able to continue their work.</p> <p><b>UK:</b> No changes in major institutions. Awareness about "seed issues" has been developed locally and has reached national radio broadcasting.</p> <p><b>Hungary:</b> Seed swapping seen by many as a positive community activity which citizens can contribute to. The activity inspires other to work with biodiversity preservation.</p>
Slow Food	<p><b>Network:</b> The role of external institutions and structures in Slow Food depends on the regional context. Slow Food has become a relevant interlocutor to some international organizations. Influenced by the environmental movement, social and solidarity economy, labour rights and fair trade. Recently Slow Food incorporated emerging alternative discourses such as "food sovereignty".</p> <p><b>Spain:</b> The Basque public administrations enhance the rejuvenation of the local agricultural sector offering public lands to young and organic farmers. Local society is highly environmental concerned compared with the rest of Spain and ecologic discourses have enabled the emergence</p>

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	of grassroots innovations like consumer's cooperatives, urban gardening, etc. The arising of Slow Food Araba-Vitoria has been influenced by environmental awareness as well as local gastronomic tradition and strong identity ties.
	<b>Germany:</b> Slow Food in Freiburg does not intend to act against established ways of doing things. They rather use their expertise and opportunities to influence at public arenas, like setting natural food standards at a food fair, and get actively involved in “traditional contexts”. The majority of people still have the image of SF as a gourmet club.

Table 5.3 presents observations from Batch 1 about similarities and differences in the local social innovation dynamics in of the cases in Batch 1. The table shows these observations and their background.

**Table 5.3: Similarities and differences in the history and interaction with local context among the local initiatives in the Batch 1 cases**

Transnational Network	Local Case 1	Local Case 2	Comparison of local initiatives and their histories and contexts
<b>The Impact Hub:</b> Global network of social entrepreneurs	São Paulo Brazil	Rotterdam and Amsterdam , The Netherlands	Parallel development time-wise in the two countries. However the initiatives seem to attract rather different social groups.
<b>Ashoka:</b> Network for financial support to social entrepreneurs	Ashoka Hungary	Ashoka Germany	Hungary initiative started earlier than the German. German initiative has stronger economy due to a stronger German business interest and has therefore a stronger role in the transnational networking
<b>Time Banks:</b> Networks facilitating reciprocal service exchange	Timebanking UK Fair Shares UK	Ser-Hacer and Health& Family Spain	Division of transnational networks along language-cultural group lines. More strict internal rules (adherence to principles) and external rules (tax, social benefit, competition) in the UK/US local initiatives - as a co-shaping mechanism – than in the Spanish cases. The Spanish experiences are in some cases differing “significantly from those [mechanisms and values] of the original time banking model”
<b>Credit Unions:</b> Different types of credit cooperatives	Norwich Credit Union - UK	FIARE Spain	The different internal rules in the initiatives seem to reflect different political cultures. Stronger empowerment from Spanish case, maybe due to focus on self-governance.
<b>RIPESS:</b> Network for the promotion of social solidarity economy (SSE)	CRIES Romania	VOSEC Belgium	Belgium initiative early. Romanian very recent. The cases are path-dependent, shaped by the national political-economic history. In Romania the new capitalism is a poor ground to SSE, and SSE initiatives have

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					low credibility because of the earlier communist regime. In Belgium there is a division between the Dutch and the French speaking parts of the SSE movement, combined with a division into different political 'streams'.
<b>FabLabs:</b> fabrication open to local communities	Digital workshops	Amersfoort The Netherlands	– Argentina		Time wise parallel development, both inspired by the FabLab concept. The Argentina lab developed closely related to the concept of the dominating international network, while the Dutch lab decided to develop a more low-cost lab.
<b>DESIS-network:</b> for design for innovation and sustainability	Network for social and	POLIMI DESIS Italy	NAS Design Brazil		The Italian local initiative has more focus on development of solutions to socio-ecological problems, while the Brazilian initiative, based in a socially deprived area, has more focus on solutions to basic social problems.
<b>Living Network:</b> Network of science shops and other community-based research entities	<b>Knowledge</b>	Science DTU Denmark	Shop InterMEDIU Romania		More tradition for civil society activities in Denmark compared to Romania and earlier and stronger tradition for universities' cooperation with civil society. Better funding opportunities in Denmark, although the focus of universities' external funding recently has changed to more focus on cooperation with businesses
<b>Global Network:</b> Network of ecovillages and other intentional communities	<b>Ecovillage</b>	Schloss Tempelhof, Germany	Tamera Portugal		Tamera started in Germany with exploring more intimate and empowered form of community and peaceful interaction. Schloss Tempelhof emerged out of the sharing economy and health care movement in Munich with intentions for intergenerational living.
<b>Transition Network:</b> International movement of place based initiatives focused on local resilience		Transition Totnes UK	Transition Wekerle Hungary		Totnes was the first initiative from which the overall movement has grown. Hungarian initiative is an example of how the Transition idea has travelled and been re-embedded in a new context. The activists involved have also played a role in spreading the Transition model further in Hungary.
<b>INFORSE:</b> International network of sustainable energy NGOs		VE (Vedvarende Energi) Denmark	APERé Belgium		The mainstreaming of renewable energy has taken place earlier in Denmark than in Belgium. Today the Belgium local initiative is more part of local public energy planning than the Danish initiative.

One way of developing this perspective on transformative social innovation theory further would be to compare across *different* case studies where local initiatives have been analysed in the same

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country. Table 5.4 shows a table of which local initiatives that have been analysed in different countries. Comparison of case analyses done in the same country can contribute to a better understanding of the co-shaping between local context (and its institutions etc.) and a type of social innovation. Such analyses might show that a national context is not “uniform” and that the type of social innovation plays a big(ger) role or in cases of more locally defined local initiatives (like the analysis of Shareable in Nijmegen in The Netherlands) that different local contexts within a country are very different (if comparing for example the analysis of Impact Hub in Rotterdam and Amsterdam).

Table 5.4 shows that in total 42 local manifestations have been analysed within the 20 case studies covering in total 12 countries, where more than one local initiative have been analysed in 10 countries (in Italy and in Portugal only local initiative has been analysed). 7 local initiatives have been analysed in Latin America (around 15 % of the local initiatives) and 34 local initiatives have been analysed in Europe (around 85%).

**Table 5.4: Geographical distribution of the local initiatives analysed in Batch 1 a2 Batch 2 case studies**

<b>Country (number of local initiatives analysed in the country)</b>	<b>Local initiatives analysed in the country</b>
Argentina (4)	FabLabs, Hackerspaces, Co-housing, Via Campesina
Belgium (2)	INFORSE (sustainable energy), RIPESS (social solidarity economy)
Brazil (3)	Desis lab, Impact Hub, IOPD (participatory budgeting)
Denmark (2)	Living Knowledge (science shop), INFORSE (sustainable energy)
Germany (5)	Ashoka, GEN (eco-village), Basic income, Co-housing, Slow Food
Hungary(4)	Ashoka, Transition Network, Seed movement, Via Campesina
Italy (1)	Desis lab
Portugal (1)	GEN (eco-village)
Romania (2)	Living Knowledge (science shop), RIPESS (social solidarity economy)
Spain (5)	Credit Union, Time banks (2), Slow Food, Shareable
The Netherlands (7)	Impact Hub (2), FabLabs, IOPD (participatory budgeting), Basic Income, Shareable, Living labs
The United Kingdom (6)	Transition Network, Hackerspaces, Credit Union, Time banks, Living labs, Seed movement

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## 5.3 Systems targeted by social innovation

The systems addressed or targeted by the social innovations in the cases in Batch 1 and Batch 2 cover a broad variety of systems. The list shows that some cases can be seen as addressing or targeting more than one system:

- **The economic system:** Ashoka, Credit Unions, FabLabs, GEN, Impact Hub, RIPESS, Time Banks, Transition Network, Basic Income, Participatory Budgeting. This includes the finance and investment practices, production and consumption patterns, values underlying economic exchanges, and labour market.
- **The education, innovation and research system:** Impact Hub, Ashoka, DESIS, FabLabs, Hackerspaces, GEN, Living Knowledge, Co-housing, Living Labs, Slow Food. The general focus of these social innovations implies that their activities could target actors and problems in many different social systems.
- **The energy system:** GEN, INFORSE, Transition Network, Co-housing, Living labs, Shareable. This includes also the housing system where energy are consumed and in some cases also produced.
- **Cities and local communities** that the cases are located in and/or embedded in: DESIS, FabLabs, Impact Hub, Transition Network, Co-housing, Participatory Budgeting, Living labs, Shareable.
- **The food and agriculture system:** Via Campesina, Seed Movement, Slow Food, GEN

Further research and analyses could for example address whether and how different innovations within these systems reinforce or compete with one another, but also comparisons of the dynamics of social innovations addressing the same system would be interesting.

## 5.4 Aspects of co-production in social innovation dynamics

While the guidelines for the Batch 1 cases focused on system innovation and societal transformation, the guidelines for Batch 2 has a more relational approach to social innovation and focuses more explicitly on interactions over time between social innovation initiatives and societal actors, institutions and structures.

The definition of societal transformation used in D4.1 and D4. 2 was “*fundamental and persistent change across society, exceeding sub-systems and including simultaneous changes in multiple dimensions*” (Avelino et al., 2014). The conclusion in D4.2 was that according to this definition, none of the Batch 1 networks could be said to have contributed to a societal transformation. However, all Batch 1 cases were characterised as contributing to a societal transformation in the making. A much more thorough analysis would be needed to understand this dynamic of ‘societal transformations in the making’.

It was in D4.2 concluded that one possible research avenue could be to focus on the explicit interrelations over time that some of these cases have with their physical and institutional context. One long-term case in Batch 1 showing this type of co-shaping of social innovation initiative and societal institutions is the Danish local manifestation in the INFORSE case. A similar case from Batch 2 would probably be the co-housing case and its two local manifestations from Argentina



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and Germany. The Argentine local manifestation shows a long history of co-shaping of the role of the co-housing associations and the economic conditions in Argentina with both expansion and set-back. The bankruptcy of the co-housing association during the economic crises in Argentina shows that even social innovation initiatives that have obtained significant societal impact can lose its importance. Similar observations could be made within the Danish part of the INFORSE case in relation to the present controversies in several municipalities about new on-shore wind turbines despite the big role of wind energy in the Danish energy system. The German co-housing case shows how local impact of a social innovation can be (a specific neighbourhood) without being able to influence the city it is part of. Furthermore, this local manifestation also shows how social innovation initiatives might change over time: the new residents are not valuing or aware of the environmental aspects of the housing district as much as the residents that were part of the planning and design of the district.. The social engagement among the residents in the district is diminishing and the new residents do not feel responsible and do not identify with the original vision behind Vauban as much as the residents that were part of the planning and design of the district. However, the practice of living without or with a rather reduced use of cars is flourishing in the district.

A third interesting future research avenue would be to analyse how far new social practices and social relations, which the social innovations represent, are becoming mainstreamed or not, taken up by other actors or not and how this in turn impacts the case and adds up (or not) to systemic changes. Indications of systemic changes found in the Batch 1 cases were the Danish part of the INFORSE case, but also Ashoka and the rise of social entrepreneurship all over the world, or Impact Hubs and the growth in co-working spaces witnessed in the cities analysed. From Batch 2 the Via Campesina network indicates signs of impact because it apparently is so influential that big international institutions like FAO and IMF, which Via Campesina has had conflicts with, have tried and to some extent managed to split the Via Campesina network and create alternative networks also working with agriculture.

## 6 Agency and transformative social innovation

### 6.1 Introduction

This chapter is based on findings in relation to research question 3 in the methodological guidelines (D4.3): *Where lies the agency in (T)SI processes? How are actors dis/empowered in/by the SI-initiatives/SI-networks in relation to (T)SI?* We have studied **agency** in terms of the human capacity for purposive action. We are particularly interested in understanding the agency of individual actors, SI-initiatives and SI-networks (here-after referred to as ‘actors’) to co-produce TSI, through specific aspects of agency such as empowerment. We understand **agency** as a dynamic, relational and constantly evolving process through which actors imagine alternatives and transform themselves, their relationships and their social contexts.

Building on the conceptual definitions as specified in D4.3, in this comparative analysis we focus on seven dimensions of agency in our comparative analysis: (1) theories of change, (2) dis/empowerment, (3) internal governance, (4) external governance, (5) social learning, (6) resourcing and (7) monitoring.

The last five dimensions of agency were also explicitly addressed in the methodology and analysis of Batch 1 cases (see D4.1 and D4.2). As such, these five dimensions of agency (internal/external governance, social learning, resourcing and monitoring) can and will be compared across Batch 1 and Batch 2 cases, i.e. the total of  $12+8=20$  networks. For doing this, we base ourselves on (a) the tables that case-study researchers themselves filled in for their Batch 2 cases, and (b) the tables developed by the D4.2 authors for the comparison of Batch 1 cases (including a feedback check by case-study researchers).

For the first two dimensions of agency (theories of change and dis/empowerment), we only focus on the Batch 2 cases, i.e. 8 networks. For this, we base ourselves purely on the information that Batch 2 case-study researchers provided in the tables. One of the analytical and methodological shifts between D4.1 and D4.3 is that in our final conceptual framework (as based on D3.2), we approach dis/empowerment as a dimension of agency in its own right. This contrasts with the earlier D4.1 (based on D3.1), where dis/empowerment was unpacked and operationalised in terms of the four cross-cutting themes of governance (internal and external), social learning, resourcing and monitoring, and not discussed as a separate empirical phenomenon. Moreover, D4.3/D3.2 have added another, new dimension of agency, which concerns the concept of ‘theories of change’ (see section 6.1), which was not explicitly addressed in the Batch 1 cases.

In terms of methodological issues, it is important to emphasise that the comparative analysis in this section is based on limited information, as it has relied on the table summaries that case-study researchers themselves filled in for their Batch 2 cases, and – where applicable – the tables developed by the D4.2 authors for the comparison of Batch 1 cases. This also means that certain information is missing, either because it was omitted, or because case-study researchers had different interpretation of concepts and therefore reported on different empirical phenomenon. (When this is the case, we will specify this in the respective sections of each concept). As such, the focus of this comparative chapter is on mapping the diversity of practices and ideas across the

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cases, rather than focusing on how many cases engage in exactly which practice or idea. This initial comparative exercise serves to identify interesting avenues for further comparison and deepening (such as e.g. more explicitly specifying and comparing what is ‘socially innovative’ about the ways in which cases engage in governance, social learning, resourcing and monitoring).

## 6.2 Theory of Change

We want to understand how actors (try to) co-produce TSI-agency and empowerment, for instance by making use of specific **theories of change**. A **theory of change** is a set of ideas, framings and assumptions about how change comes about. Thus it is not necessarily an ‘academic’ thing at all – it is assumed that any actor aiming for change will be informed (more or less explicitly) by a theory of change. We are particularly interested in understanding how and to what extent the theories of change used by our actors under study, explicitly and/or implicitly, include specific ideas about how SI can contribute to transformative change.

In the methodological guidelines of D4.3 we have made an explicit distinction between theories of change on the one hand, and ‘visions’ or strategies’ on the other hand, and formulated different, specific empirical questions for each concept. However, because not all case-studies have analysed these three concepts as separate phenomena, we have focused on the most general sub-question on theories of change: *Does the SI-initiative/SI-network have explicit/implicit ideas, framings and assumptions about how SI contributes to societal change comes about (i.e. a theory of change)? Has that changed, and if yes, when, and why?*” Answers to this question implicitly also included observations on visions and strategies. Because this question was not asked in the first batch of case-studies, we focus this section only on the theories of change (ToCs) of the Batch 2 case-studies. See table 1 in Annex 2.

There are clearly different levels in the way that case-study researchers summarised their answer in the tables: some focus on explaining the ToCs of networks/initiatives regarding the *implementation* of their SI-idea (e.g. Basic Income), while others explained the ToCs regarding the *SI-idea in itself* (e.g. Co-housing). Often these two different levels are quite intertwined, which is why we treat them as one. We also observe that there are cases where local initiatives are very similar to the transnational network organisation regarding their theories of change (e.g. Slow Food) while in other cases there are clear differences between the transnational networks and the local manifestations, as well as differences between the local manifestations (e.g. Basic Income and Participatory Budgeting).

For our comparative analysis of theories of change, we distinguish between three dimensions of theories of change: (a) what has to be changed and why, (b) who drives the change, and (c) how change comes about.

### 6.2.1 What has to be changed and why?

Although the problem perceptions are not explicitly in most of the table descriptions, there are several implicit references to systems that need to change, such as the agro-food system (Slow

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Food, Via Campesina, Seed Movement), the welfare system (Basic Income), the financial and economic systems (Credit Unions, RIPESS), technology (EnOLL) or the current manifestation of representative democracy (IOPD-Participatory Budgeting). Challenges perceived within these systems, include neo-liberal dominance of financial capital, consumerism, corruption and lack of transparency, accompanied by a perceived need for improved human rights, social justice, emancipation and citizen participation.

## 6.2.2 Who drives change?

The role of citizens is emphasised in all cases, sometimes with an additional focus on their role as consumers as political actors to change e.g. the food system (Slow Food), and other times with a specific focus on a particular profession, e.g. farmers (Via Campesina). Some cases focus on the role of government (Basic Income Network) or more specifically on municipalities (Participatory Budgeting), but they still emphasise the aim of empowering and involving citizens. Some cases pay more attention to the collective level of the 'cooperative' (Co-Housing) or a collaborative unit such as 'the lab' (EnOLL) as the level of actors driving change.

There are some interesting contrasts between different cases, both between different networks as well as within the networks between different local cases. For instance, in the case of Basic Income, certain local cases were more government-oriented and aiming for political support and government-led change, while others were more society oriented and seemed to perceive the government as a conservative force to be circumvented. We also see that there is change/shift through time in the Basic Income case more generally, from a strong government orientation, to a stronger society orientation. Another interesting contrast is between the Participatory Budgeting case in Brazil, where the focus is clearly on empowering citizens, while the Participatory Budgeting case in the Netherlands seemed more about involving citizens who were already empowered.

## 6.2.3 How is change achieved?

Most information about the theories of change refers to the 'how': how change is achieved. Unsurprisingly, many of our cases champion their particular social innovative concepts as a means to achieve desirable societal change, e.g. cooperative housing (Co-housing), labs (EnOLL), seed exchange (Seed movement), participative democracy (Participatory Budgeting), basic income, and so on.

At a more general level, we clearly see similarities across the cases regarding certain strategies that are considered to be effective in achieving change, including: spreading awareness, increasing public support, education & training, empowerment and participation. Cases differ in their specification of how such general aims are manifested and operationalised. For instance, the recently emerged crowd-funding initiatives of Basic Income focus on letting people experience the monthly receipt of a basic income in one particular location, in contrast to the BIEN network's approach of spreading the idea, persuading voters and politicians and studying and discussing implementation strategies and possible effects.

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In line with the very concept of ‘theories of change’ and how this informs strategic action, we see that assumptions about how the world does or will change, inform the cases’ approaches to change. The Co-housing case, for instance, emphasises the power of free association, cooperation and cooperatives, while EnOLL focuses specifically on creating connections and ‘ecosystems’ for innovation. EnOLL has a strong belief that technology and data will play a crucial role in the future, and invests considerably in doing tech projects. Slow Food believes that small-scale agricultural production, well-rooted local economies and food artisans could be the leading players of building a convivial society. The Seed Exchange network starts off from the belief that larger changes can be achieved through interpersonal transformative experiences and that “the informal, voluntary and autonomously emerging network of dedicated individuals creates a social agency that brings difference” (see table 1 Annex 2). Via Campesina focuses on empowering farmers by giving them the tools and strategies to defend their rights to land, to preserve their way of life and to promote a global reform linked to a new production system and agro-ecology. Shareable believes in the ‘transformative power of sharing’ as a means to wealth distribution and community-building. In the case of Participatory Budgeting, change is seen to come about through the collaboration of the citizens and local governments and administrations. Both Participatory Budgeting as well as Basic Income can be seen as outlier cases compared to the other six cases in Batch 2 (as well as the other 12 from Batch 1, so it seems) in terms of their government orientation (even though some of its local cases are less government oriented than others, as explained previously).

Although not much information has been given in the tables on how ToCs change over time, the observation from the Basic Income case that there has been a shift from the use of conventional media to social media for spreading ToCs, is likely to apply to other cases as well. For the Slow Food network it was noted that the ToC “began with an initial aim to defend good food, gastronomic pleasure and a slower pace of life (eno-gastronomy), and then logically broadened its sights to embrace issues such as the quality of life and the health of the planet that we live on (eco-gastronomy)”.

## 6.3 Dis/empowerment

In the methodological guidelines, we conceptualised **(dis)empowerment** as a process through which actors gain (or loose) a sense of influence and direction over circumstances that affect them. It involves competence (a judgment or capability to exercise control over own functioning and events), impact (having the sense of, and the experience that actions achieve a result in terms of challenging, altering or replacing existing dominant institutions); and resilience (developing the capacities for resisting obstacles and experiences of failure and for adapting strategies flexibly to changing circumstances).

In the methodological guidelines of D4.3, we asked the following empirical question: *How and to what extent are which people involved in the SI-initiative/SI-network empowered or disempowered (i.e. gain or lose a sense of influence and direction over circumstances that affect them)?* Because this question was not explicitly asked as a separate question in the first batch of case-studies, and not discussed as a separate dimension in the comparative analysis of D4.2, we focus in this section only on the (dis)empowerment of the batch 2 case-studies. See table 2 (dis/empowerment processes) in Annex 2.

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The levels at which the empowerment question has been answered (in the tables) differs considerably across the cases. Some focus on how the basic SI-concept in itself is empowering, towards e.g. citizens (PB), members (ENoLL), farmers (Via Campesina) or 'civil society' more generally (ENoLL), or how a particular form of 'increased participation' is in itself an empowering phenomenon, e.g. 'participation in growing food as empowerment' (Seed Exchange) or 'participating in evaluating municipal budgets as empowerment' (PB), or 'sharing as empowerment' (Shareable). Others focus more on how the networks and initiatives as organisations get (dis)empowered, or how the networks and their local initiatives empower each other (e.g. Basic Income, ENoLL, Co-housing).

A clear similarity across all cases regarding process of empowerment, revolves around creating connections between like-minded people and initiatives, enabling the sharing of skills, intervention strategies, knowledge and inspiration by providing platforms for exchange, training and learning, including the pooling evidence and show-cases. These processes are observed to increase people's sense of competence and impact. Other such recurring patterns of empowerment include:

- The development of political party support for the SI-concept (Basic Income, Co-housing) and/or the creation of political influence and 'political formation' (Slow Food, Via Campesina)
- Legislation that supports/ allows for the SI-concept (Co-housing, Seed Exchange)
- Backing, support and legitimisation from scientists and 'intellectuals' more generally (Basic Income, Seed Exchange, Via Campesina)
- Being part of an international network that can provide increased legitimacy, recognition, reputation, sense of impact, adaptation of good practices from different countries, access to media, international funding and sometimes even provides certification (ENoLL, Co-housing, Participatory Budgeting, Slow Food, Via Campesina)
- Development of a common identity, normative ideals or 'new paradigm' (Basic Income, Slow Food, Via Campesina)
- Autonomy: autonomous governance structures (Slow Food) and financial independence from subsidies (ENoLL; Credit Unions)

The tables provide considerably less information on process of disempowerment. Obvious phenomena such as limited resources, dependence on volunteers and organisational disagreements were explicitly mentioned for the Seed Exchange case, and might probably apply to several other cases. Strong public critique of the basic SI-concept (e.g. critique on the idea of Basic Income) can, of course, be disempowering in the sense of de-legitimizing; and the composition of longevity of the network promoting and working on the SI-concept may be problematic as in the case of ENoLL where "many involved professional actors are white men above 40 years old" and that "it seems hard to also get another generation and group of professionals involved".

Both Participatory Budgeting as well as Seed Exchange mention as a disempowering process the disappointment that comes with the limited success regarding legislative change or political influence, e.g. the realisation that governmental structures remain the same despite of attempts to change it. Similarly, many past supporters of basic income seem to have, somewhat disillusioned, moved on to projects promising to yield more success and transformative impact. In the case of Participatory Budget in Porto Alegre, it is noted that over time the power relations have changed and been 'diluted', in that the movement has moved from "power to" people to "power over" people. The Slow Food Freiburg case specifies how changes in internal governance "from a one-

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leader governance practice to a decentralized system of sharing power and resources” and the subsequent diversification has been accompanied by both empowerment (through increased participation) as well as disempowerment processes (because internal differences become more visible).

Interestingly, Via Campesina is the only case for which disempowerment is mentioned as an intentional strategy of the network and in which explicit strategies are developed for training and communication that aims to disempower landowners and transnational agricultural and food companies, and ‘to confront media monopolies’: “the farmer’s empowerment implies the disempowerment of landowners and offers a glimpse of the possibility of a change in the way we produce and understand the bond and attachment to the land”.

## 6.4 Internal Governance

**Governance** = processes of governing (regulating, decision-making, steering) by all types of actors (including but not confined to government). In the framework for TSI, it is framed as one of the activities within the organising dimension of social innovation activities.

Researching the internal governance processes takes into consideration the actors who are responsible for the daily business of the initiative/network and take the decisions, and how these decisions are taken. The organisational structures of the different cases often determines by whom the decisions are taken and how. See table 3 in Annex 2.

### 6.4.1 Organisational structure

Internal governance processes refers to how an initiative or network is organised. Although there is a variation of how the networks and initiatives organize themselves, most of the initiatives show an organizational structure with (elected) boards, committees and (thematic/project based) working groups (e.g. INFORSE, Impact Hub Sao Paolo, Basic income network/Germany, Co-housing network/GER/ARG, ENOLL network/UK, PB network, SEED UK, Slow Food network/SPA/GER). In general, many transnational networks have a central decision making structure and decentralized local decision making bodies as described above.

The IOPD network and its local manifestations and Co-Housing Germany (Vauban in Freiburg) are closely intertwined with government. Regional and local government can become a member of the IOPD network and in the local manifestations. The government is taking care of a part of the participation process (e.g. providing the training for citizens). In the co-housing Germany case, there was a member of the initiative invited to the committee installed by the city council for planning the Vauban district. It is described by the case-study researcher as an example of a ‘scaled-up social innovation’.

Apart from the decision making structure, it is also relevant who are involved in the network or initiative. Generally the participants involved are either members or volunteers, and in some cases paid workers.



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## 6.4.2 Decision making actors/bodies

Decisions are not only made by individual persons, but also by confined 'bodies', e.g. a board, committee or working group. This is very much intertwined with the organisational structure of the network or initiative. The board is often elected, while it remains unclear (from the tables) how the committees and working groups are formed. In the local manifestations of the Impact Hub network the decision making is distributed throughout a number of self-organizing teams. This is similar to the working groups of e.g. the Global Ecovillage Network or Basic Income NL.

The Seed Exchange network explicitly distinguishes an expert driven organisation versus its (autonomous) community based local initiatives as a successful approach. The autonomous organisation of the local manifestations within networks sometimes comes with tensions. In the case of Slow Food Spain, the researchers observed that the autonomy of the so called 'convivia' involve conflicts or disagreements with other convivial operating in the same region but with different criteria. Other forms of tension are observed in the Credit Unions network, for example, where volunteers are demanded to participate in decision making. In the local manifestations of the UK and Spain it is difficult to obtain volunteers to participate, which is slowing down the decision making process.

Decision-making structures (or lack hereof) create tensions in some cases and have implied changes towards more formalised mixtures of coordination and self-accountability, like more decentralised decision-making in working groups in organisations with central consensus-based decision-making (local ecovillage), adhocracy (Hackerspaces) and holocracy (Impact Hub). Some networks/local manifestation make use of formal documents like 'statutes or charters' to formalize their organisation and decision making structure (e.g. FabLabs have a MIT FabCharter as requirement for local FabLabs, and the Impact Hub network which uses a licensing agreement to their local manifestations).

## 6.4.3 Decision making processes

The somewhat traditionally organized networks and manifestation appoint decision making bodies (e.g. as described above) to make decisions. This can also be done in general assemblies which are open to members of the networks/initiatives. One local case in Batch 2 explicitly mentioned that it limits its number of members to maintain a manageable size (Basic Income NL). In Batch 1, a similar observation was made for the Hackerspace UK who mentions that their growing size demands a more formal organisation with a board of directors.

## 6.5 External Governance

**Governance** = processes of governing (regulating, decision-making, steering) by all types of actors (including but not confined to government). In the framework for TSI, it is framed as one of the activities within the organising dimension of social innovation activities.

External governance is understood as structures and mechanisms which networks and initiatives are influenced by and try to use for obtaining influence in different periods. It is analysed by

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identifying who the external actors are and how their relation is governed. All cases refer to the market, civil society and the state. However, market actors as collaborating actor seems not to be as apparent as local/national/international governmental bodies. See table 4 in Annex 2. In this section, the most relevant categories from the comparative case study finding in Batch 1 are used.

## 6.5.1 Empowerment through internal/external international networking

All cases show linkages to local and governmental bodies, some to international policy bodies like the EU (e.g. Timebanks, Living Knowledge, Credit Unions), UN (e.g. Slow Food Network, RIPESS, Global Ecovillage Network) and FAO (e.g. Enoll network) and (inter)national business companies (e.g. Impact Hub, Ashoka).

Many of the initiatives organize themselves in networks or collaborations which are strategic in reaching their goals. Examples are the IOPD network and Seed Exchange network, which make alliances with academics, which provides them with legitimacy when communicating about the initiative. Other strategic alliances are characterized by their hybrid constellation of private, public and civil society actors, like the Slow Food movement in Spain who connects to the community, producers and restaurants. They also connect to local NGOs and foundations to give the food system an impulse for change. Via Campesina builds a network with like-minded people/organisations. They engage in international policy making bodies like the FAO who uptakes their demands, or collaborate with the UN when it is in their favour, while they challenge institutions that have competing worldviews, like the IMF or World Bank. Many networks seem to operate at close proximity to dominant institutions, only a few cases explicitly mention an explicit distance from dominant institutions (e.g. Shareable or the Norwich Credit Union who questions whether it is empowering or deteriorating their ethos). Individuals and groups involved in basic income related research or activism are often both locally and internationally connected. For example, there is close cooperation between German-speaking basic income organisations in Austria, Switzerland and Germany who co-organise large events. Further, connections are sought with other groups, for example the degrowth movement.

Many networks still connect to traditional institutions like local/national governmental organisations, although they also engage with civil society, academics, and similar organisations or like-minded networks.

## 6.5.2 Coherence with public policies

Coherence (or the lack thereof) with public policies can be both empowering as disempowering. In the local case of Co-housing Germany, Vauban as a newly completed city district of 6.000 residents and a cluster of co-housings was following a (participatory) city planning process with the city council, the city administration and representative citizens. The 'Forum Vauban' citizen-initiative was acknowledged by the city council, which made it easier for them to reach their goals of building a participatory, ecological neighbourhood. In Vauban, a unique combination of top-down and bottom-up planning took place. The citizen initiative "Forum Vauban" was locally accepted and professional enough to cause the political pressure to be involved in the planning process of the quarter district. Indeed, the City of Freiburg could make use of the expertise and voluntary

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engagement of the initiatives and therefore agreed to spend a usual high amount of money in ecological and participatory planning processes. In a similar way, all researched cases of Participatory Budgeting fit within some administrative structure and decision making process.

On the other hand, several cases explicitly mention how they are bound by formal laws and structures (e.g. Credit Union seems disempowered due to stricter public regulation of banks). For instance, Co-housing is bound by legal frameworks regarding housing construction and management practices, Seed Exchange in Hungary is closely following (EU) laws regarding seeds, and Shareable is bound by rules concerning free competition. As mentioned in D4.2, some cases face an external demand for formalised structure, like a charity (UK Transition Town) or a not-for-profit business (Danish INFORSE Member) or any other legal entity. The Living Knowledge Network has faced reduced funding possibilities because it is not a legal entity.

Where coherence (or the lack thereof) with public policies can be both empowering as disempowering, it can also be both within one case. While the Basic Income Network needs formal registration as an organisation to become eligible for funding and donations, its local manifestation in the Netherlands mentions that the governance has started experimentation with new types of governance arrangements.

## 6.6 Social Learning

*(Social) learning = processes of learning (acquiring information, knowledge, experience), between individuals and groups at the level of the initiative/network, but also beyond the initiative/network to the broader social context. In the framework for TSI, it is framed as one of the activities within the knowing dimension and/or framing dimension of social innovation activities (see social innovation def. above). (D4.3, p35)*

For this dis/empowerment dimension we can distinguish between the objects of learning, learning methods and processes as well as the actors learning or teaching. Thus, we can answer the following questions for the 20 social innovation networks:

- What is learned?
- How is it learned?
- Who learns from whom?

In addition we can draw out a number of specific learning related distinctions and observations. See table 5 in Annex 2.

### 6.6.1 Object of learning

The learning relates to **knowledge, experiences** and **skills** (also competences). The main focus is on theoretical knowledge as in information about certain topics, such as the social solidarity economy, social entrepreneurship or the food system. This is the main object of learning for most networks (e.g. Via Campesina, Credit Unions, RIPESS, Living Knowledge Network, GEN, Basic Income, IOPD-Participatory Budgeting, Co-housing, Seed Exchange or Ashoka). Also practical knowledge is learned, thus methodologies or 'how-to' knowledge – however, this is mainly

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referred to as learning skills or competences. Such skills are for example cooperation, communication, fundraising, lobbying, or campaigning (e.g. Ashoka, Credit Unions, Hackerspaces, Basic Income, Slow Food). GEN has developed a design course on ecovillage building and living, that includes practical learning skills like eco-housing techniques, how to implement a local economy and how to govern collective ownership. Also experiences are gained in social learning processes; this is relevant for e.g. FabLabs, Living Knowledge Network, Participatory Budgeting, Slow Food or Via Campesina. Objects of learning are strongly related to learning outcomes in terms that social learning processes lead to the (co)production of new ideas and knowledge, new practices, new framing (and social norms) and new social relations that may transcend the original social (experimental) context. Social learning also relates to empowerment, community building, networking, etc.

## 6.6.2 Learning methods and processes

Social learning is manifested as a process of knowledge generation based on experience and practice -including experimentation and participation- that emerges through the social interaction between like-minded people. Social learning produces a change in personal and collective understanding and occurs in a relational framework. We emphasize the relevance of relational framework in terms of identifying learning contexts: experiential, formal and informal. There are a number of ways through which learning takes place. Firstly, learning takes place through **reflecting and evaluating**: (internal) reflections (RIPESS, GEN), or (self) evaluations (Transition Network, Living Knowledge Network) are considered more informal ways of learning. There are also different sources from which to learn, such as failures, success factors, other actors (Impact Hub, Time Banks, Ashoka, Seed Exchange).

Secondly, learning takes place through either **organizing or participating** in e.g. working groups, projects (Basic Income, IOPD-Participatory Budgeting, Slow Food), specific activities (Impact Hub, Co-housing) or public events (Shareable, Slow Food). Besides, learning occurs within processes of external governance, participating in political or social sphere, learning how to become a political actor, how to gain social influence. Another third way is through **creating experiences** such as through house visits (INFORSE), field trips (Slow Food) or shared lunches (Impact Hubs).

Fourthly, **sharing and exchanging** is a very popular way of learning, whether organized such as in alumni networks (FabLabs), in international exchanges (Co-housing, Seed Exchange, GEN) and through mentoring (Credit Unions, Living Knowledge Network) or more loosely such as in meetings (INFORSE, Basic Income, GEN). It can be done, both online or offline (Slow Food, ENoLL) and can focus on sharing best/good practices, knowledge and experiences (Credit Union, Living Knowledge Network, Hackerspaces, Desis, GEN).

A more systematized way is learning through **participating in or organizing trainings, courses, seminars, workshops or learning programmes**, which is done by a wide array of networks (Via Campesina, Credit Unions, RIPESS, Living Knowledge, FabLabs, GEN, Co-housing, ENoLL, Impact Hub, Ashoka). Even more structured is the establishment of own schools or training centres, such as the Fab Academy (FabLabs), the Institute for Cooperative Education (Co-housing), the University of Gastronomic Sciences (Slow Food) or the seminar centres in ecovillages.

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Finally, learning also can take place through **documenting and publishing** about one's work and projects (Basic Income, Participatory Budgeting, Slow Food, Transition Network, FabLabs, GEN). Some initiatives have published books or tutorials that explain the philosophy and narratives of change of each social innovation with the aim to gain more adepts and supporters (Credit Union, Slow Food, Time Banks, Transition Towns). This is done through virtual means such as newsletters, blogs or websites (Co-housing, IOPD-Participatory Budgeting, Impact Hub, Basic Income, Ashoka, Transition Network, RIPESS, Slow Food, Living Knowledge) or generally using media (Basic Income, Ashoka, Slow Food).

## 6.6.3 Learning actors

Interesting is also that learning takes place within the initiative/network, while it also provides learning possibilities for external actors. In terms of the former, we can distinguish the following learning relations:

- Members of an initiative learn from other members of the initiative (Basic Income, ENoLL, Transition Network, Participatory Budgeting, Via Campesina, Seed Exchange Networks)
- Members of an initiative learn from the initiative as a concept/ approach in itself (Co-housing, Living Knowledge Network, Slow Food, Participatory Budgeting)
- One initiative learns from another initiative within the network (FabLabs, GEN, Seed Exchange Networks, Slow Food, Credit unions)
- An initiative learns from the network (Credit Unions)
- A potential new initiative learns from another initiative or the network (Credit Unions, Living Knowledge Network, GEN, Timebanks)
- Groups of actors that form around an issue, such as policy actors, network members and other actors learn from their involvement in initiatives, and initiatives learn from them (Basic Income, GEN, Impact Hub)

Related to the provision of learning possibilities to external actors, we can distinguish between:

- The public/ external individuals learns from the initiative (Slow Food, Ashoka, FabLabs, Basic Income, Participatory Budgeting, INFORSE, GEN)
- Children/Schools learn from the initiative (Ashoka, Living Knowledge Network, GEN, Slow Food)

## 6.6.4 Other observations

There are a number of more general distinctions that can be drawn on the basis of the above:

- Initiatives/networks are both Learner and Teacher
- Internal vs. external focus of learning: this has consequences for the learning methods and the learning objects.

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- Specific attention goes to learning about how to set up another initiative as part of the network: this can be highly formalized or informal and more or less intensively guided. Some initiatives have developed a “standardised” methodology to set up local initiatives and projects (Slow Food, Timebanking, Transition Towns) which seems to be essential to the stabilization of TSIs (Slow Food)
- Another interesting fact is the creation of own learning structures or knowledge infrastructures (Fab Academy, GEN seminar centres, Institute of cooperative education by Co-housing or the University of Gastronomic Sciences by Slow Food)
- The networks/initiatives also consider themselves as knowledge infrastructures: e.g. knowledge hub, learning community, as pool of knowledge or as in GEN the village as a laboratory. Or as providing physical space for learning (Impact Hub, Desis, GEN).
- We can distinguish different types of learning, such as experiential learning (Transition Network, Co-housing) or autodidactic learning (Hackerspaces, FabLabs) also referred to as learning by doing, project based learning (Desis) or experimentation (Desis, GEN). This is opposed to more formalized structured learning as through courses or trainings.

## 6.7 Resourcing

**Resourcing** = the process by which actors acquire the resources they need to attain their goals. Resources can refer to monetary resources, but also to natural resources, artefacts, information or 'human resources' (i.e. man hours). In the framework for TSI, it is framed as one of the activities within the doing dimension of social innovation activities (see social innovation def.). Resources can be defined broadly as persons, assets, materials or capital, including human, mental, monetary, artifactual and natural resources. There is no inherent hierarchy of relevance between the different resources; each type of resource can be the object of power to more or less extent. All resources are interrelated and in order to mobilize one type, one may need to make use of other types. (D4.3, p. 32)

Given the limited information in the tables, this section focuses specifically on the resources that are used and needed (and less on how these are obtained). See table 6 in Annex 2. The types of resources identified are clustered as follows: monetary resources, human resources, technological resources and physical resources. (The latter two categories were not explicitly mentioned in D4.2.). Resourcing is often interpreted by the researchers in terms of monetary resources and lacks explicit focus on how and when they are obtained.

### 6.7.1 Monetary Resources

This category is most often mentioned as resource by the researchers. Within the category of monetary resources there is a differentiation of types of monetary resources.

#### 6.7.1.1 Membership/partnership fees

Membership fees are often mentioned as a source of income (e.g. Impact Hub, Hackerspaces, INFORSE, Basic Income, Co-Housing, ENOLL, SEED, Slow Food, GEN). Only one network explicitly



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mentions not to work with membership fees: the IOPD network (participatory budgeting). Instead they are actively looking for a source of income and have considered crowd-funding.

The networks of the initiatives can be of importance by involving potential financiers. Via Campesina is the only network who explicitly mentions taking an ethical stance against accepting financial resources from organization who conflict with their vision.

Sharable network and Slow Food Germany point out other forms of sponsorship as source of income. Slow Food Spain collaborates with private/public entities and receives financial resources from that.

## 6.7.1.2 Crowd-funding, grants and donations

Another form of monetary resourcing is donations from private institutions (Ashoka, Basic Income

### **Textbox 6.1: Socially innovative example of crowd funding:**

The Mein Grundeinkommen initiative uses several (socially) innovative ways to collect money towards a crowd-funded Basic Income: In addition to “regular”, internet-based crowd-funding, the German PayBack system is used (whenever someone pays in a shop and uses a PayBack card connected to that system, a few cents are credited to the crowd account) and an online toolbar has been developed (by Berlin start-up) which credits 5% of online purchases to the crowd account if the webshop has been visited through that toolbar. Further, there is a collaboration with a lemonade producer who donates a few cents of every bottle sold to the initiative. Between summer 2014 and mid-January 2016, more than 33,500 people have donated towards 28 Basic Incomes.

Germany, Co-Housing Germany, Sharable France, Slow food network, Slow food Germany and Via Campesina). Basic Income NL/GER make use of crowd-funding as a source of income. The PB Brazil initiative is exploring the possibilities to make use of crowd-funding. The Basic Income case study show a socially innovative example of crowd funding, see textbox 6.1.

## 6.7.1.3 Governmental funding

While only one network (ENOLL) seems to take an explicit stand against making use of subsidies, other initiative make use of project based subsidies (Living Knowledge Network, Basic Income Germany – EU subsidy, PB Netherlands – national subsidy to further develop the project, Slow Food Spain) and funding from (inter)governmental bodies (Time Banks, RIPESS, Global Ecovillage network, INFORSE, Desis, Co-Housing Germany: City of Freiburg, Federal state of Germany; PB BRA/NL; SEED – EU grant, SEED Hungary, Slow food Spain, local Impact Hubs). The Brazilian initiative of participatory budgeting explicitly mentions its collective share of governance and resources between citizens and the city hall, e.g. the financial resources from the government keep the PB cycle working.



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## 6.7.1.4 Income from business activity

Some networks and initiatives produce commodities (software from Hackerspace, advice from local Impact Hubs and Wallonia INFORSE to local governments), which can be sold while other organize business opportunities like events and activities (e.g. Impact Hubs, FabLabs, Slow Food, UK Transition Towns and Ecovillages) to raise money. The Seed Movement receives income through selling their seeds. Via Campesina Argentina also sells products, that are made by their communities. The local manifestations of the Co-Housing network gain income through renting out their property. Hackerspaces UK, Ecovillage Germany and Portugal, SEED UK, Slow Food Germany, Via Campesina Argentina get income from organizing events and activities. Credit Unions raise incomes from banking activity. Slow Food creates two (for-profit) companies aiming to obtain fundraising for specific projects and running seminar houses.

## 6.7.2 Human Resources

### 6.7.2.1 Volunteers

Many networks rely on volunteers (Credit Unions networks and its local manifestations, Transition initiatives, the Danish INFORSE, Basic Income network, GEN, Co-housing Freiburg, PB in NL and BRA, SEED UK, SHARE NL, Slow Food network in Spain and GER). Paid work exists in various networks but seems to be an exception compared to the amount of volunteer work.

### 6.7.2.2 Knowledge and access to university human resources

Knowledge is essential to many of the networks and initiatives. They gain access to knowledge through their network (e.g. exchanging knowledge, see social learning - Basic Income NL/GER, ENOLL network, PB NL, Slow food Germany, Co-housing Germany) and (strategic) collaboration with knowledge institutions (e.g. Desis Labs, Science Shops, Slow Food, Impact Hub, GEN). Slow food has even founded its own knowledge institutions like the Foundation for Biodiversity; the Terra Madre Foundation and the University of Gastronomic Sciences (UNISG) to support its Slow Food projects.

### 6.7.2.3 Networking as resourcing

The network in which local initiatives are involved functions as a resource for collaboration which can develop into financial opportunities, collective events and activities, the network as knowledge hub (see above and social learning), expertise, etc. Examples of such networks are Impact Hub, Living Knowledge, and INFORSE in Batch 1 and Basic Income NL, ENOLL network, SEED UK, Slow food Germany in Batch 12. A large number of BIEN members are academics employed by a university, thus providing funding for basic income-related research and writing.

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## 6.7.3 Physical Resources

Physical spaces to gather for events or do office work for the network or initiatives, is another type of resource mentioned. Basic Income points out facilities to host congresses (which are often universities), PB Brazil addresses that communities can make use of facilities in the city hall, Shareable addresses co-working spaces as an available facility. Many initiatives (e.g. Impact Hubs, Ecovillages, Transition Towns, FabLabs and Co-housing) are for a great part focused on sharing physical resources such as working spaces, living spaces, gardens, tools, materials, and so on.

## 6.7.4 Technological Resources

Although many initiatives are involved in innovating technological resources, not much has been made explicit about how initiatives themselves use technological resources to achieve their goals. Many initiatives make use of social media or digital tools as means to communicate and share information, and use software, hardware and internet as resource. For the Dutch manifestation of PB, an online application has been of importance for accessing valuable information.

## 6.7.5 How are these resources accessed?

How resources are accessed is not explicitly specified in the tables for any of the cases. What became clear however is that the network is often used as a tool for gaining resources in any form (collaboration, sponsorship, knowledge) and that some local manifestations seek for project based funding (both public subsidies and private donations) through active acquisition. So far, the most specified and explicit socially innovative form of resourcing is been the Basic Income example (see textbox 6.1) where (both offline and online) a local tool is developed to collect money in a structured way.

## 6.8 Monitoring and evaluation

**Monitoring** = the process that actors use to evaluate the impact/progress of their initiative/network on/in the context of the surrounding societal systems. In the framework for TSI, it is framed as one of the activities within the doing dimension of social innovation activities (see social innovation def. above). (D4.3, p35)

For this dis/empowerment dimension we can distinguish between the objects of, methods and reasons for monitoring as well as the actual monitoring actor. Thus, we can answer the following questions for the 20 social innovation networks:

- What is monitored?
- How is it monitored?
- Why is it monitored?
- Who is monitoring?

See table 7 in Annex 2.

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## 6.8.1 Objects of monitoring

The social innovation initiatives and networks monitor or evaluate their **own activities**, the **outcome or impact of these activities**, the **composition of their network/initiative** and the **context** they operate in.

Networks and initiatives thus monitor their activities and projects (e.g. Slow Food, FabLabs, Hackerspaces, INFORSE), but also their financial performance (Credit Unions, Transition Network initiative in the UK). The main focus is on the outcome or impact of their activities, this includes for example the impact on target groups (e.g. Time Banks, Slow Food), or just broadly, their 'social impact' (e.g. Transition Network, Co-housing) or impact (Impact Hub, Ashoka). Some initiatives have sought scientific validation of the social impact of its activities, reaching agreements with local universities (Febea, Slow Food Araba-Vitoria). Indicators for such impact are for example the website usage which is monitored (e.g. Transition Network, Basic Income) or the media coverage (Basic Income). In terms of the composition of network/initiative, membership numbers and geographical spread are monitored (e.g. Impact Hub, Basic Income); also the needs of the networked initiatives as well as the overall development of initiative/network (Impact Hub). A good number of networks is monitoring their context or the field that they engage in/with, such as the Basic Income network which is monitoring the societal, political and economic development and changes therein (also RIPESS, Co-housing, Participatory Budgeting). In the case of the German co-housing district Vauban the monitoring on life quality and demographical changes are part of standardised monitoring of the City. While others are more focusing on the regulatory environment or market-related figures (both: Seed Exchange).

## 6.8.2 Reasons for monitoring

Reasons for monitoring include the fact that monitoring is a requirement by funders (e.g. RIPESS, Slow Food, Transition Network, INFORSE or Living Knowledge). However, also the fulfilment of legal requirements are a reason to engage in monitoring and evaluation activities, such as is the case for Credit Unions and the Transition Network initiative of Totnes for its status of 'charity'. A final reason is the wish to learn and share or replicate (Time Banks, FabLabs, Transition Network), to learn and improve activities (Co-housing and Participatory Budgeting) to learn and increase impact (Impact Hub and Ashoka).

## 6.8.3 Monitoring methods

There are a number of different methods that the networks/initiatives use: More quantitative methods, such as surveys (Impact Hub, Ashoka, Transition Network or Co-housing), but also more qualitative methods such as case studies or thematic studies (Time Banks) or even reflective methods (basically reflection and deliberation as with ENoLL or Via Campesina). The usage of ICT is very common as in the use of software (TimeBanks), website and key word tracking (Transition Network, Basic Income), databases (Co-housing), or other online tools (Seed Exchange). Publications are also considered a method for monitoring (Living Labs, IOPD-Participatory Budgeting) as well as the organisation of awards, which gives a feel for what is happening in the network (IOPD-Participatory Budgeting).

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## 6.8.4 Monitoring actor

The monitoring activities are with an overwhelming majority done by the networks or local initiatives themselves. However, there are also collaborations with universities (researchers, students) for developing monitoring and evaluation frameworks (e.g. Transition Network) or to perform evaluations (e.g. Living Knowledge, Co-housing or the Dutch participatory budgeting initiative).

## 6.8.5 Other observations

We can distinguish between an **internal focus of the monitoring** and an **external focus** along three categories: in what is monitored (e.g. own activities vs. context), in reasons for monitoring (e.g. learning vs. funding requirements) and the monitoring actor (e.g. network/initiative vs. university).

Another distinction which can be drawn is the **degree of monitoring activity** (none, little, active), the **degree of formality** (informal activities, more formal activities or even mandatory). If monitoring is done (main indication is that little monitoring is done) then most of these monitoring activities are informal and non-systematic.

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## **7 Perspectives for further development of transformative social innovation theory**

This chapter presents some reflections based on the comparisons of the case studies in Batch 1 and Batch 2 about the contribution of the cases and the comparative analyses to the further development in TRANSIT of theory about transformative social innovation. The chapter focuses in the first section (7.1) on reflections about the propositions about social innovation that was developed in WP3 and that was the inspiration behind the development of the methodological guidelines for Batch 2. Section 7.2 presents ideas and inspiration for further analyses that can be done based on the case studies and on the case comparisons in this publication.

Chapter 4, 5 and 6 and the related annexes have given detailed accounts, summaries and analyses of the transformative aspects of social innovation in the 20 TRANSIT case studies.

In chapter 4 overall timelines were shown for the transnational networks and the local initiatives. Several typologies covering the historical development of the transnational networks and local initiatives were developed, highlighting the very different length of the history of the analysed initiatives and the very different focus and aim of the initiatives.

Chapter 5 analysed from a relational perspective the co-shaping at both international level and local level of social innovation and existing institutions. The chapter indicated that there among the analysed cases are rather few examples of transformative impact, because the social innovation initiatives are quite young compared to the long history of some social movements. A few cases show substantial societal impact (the cases about co-housing, agro-ecology and renewable energy), but these cases show at the same time that societal impact has to be “defended” and that the co-shaping with dominating institutions in capitalist societies might imply that social innovations are mainstreamed in ways that threatens original values or social innovation organisations are challenged by competing organisations.

Chapter 6 gives very detailed accounts and overviews/typologies of the seven dimensions of agency in relation to transformative social innovation at both transnational level and local level: theories of change, (dis)empowerment, internal governance, external governance, social learning, resourcing and monitoring. The accounts, overviews and typologies identify potentials for further analyses and comparison, including analyses that combine aspects of agency with aspects of dynamics of social innovation.

### **7.1 Comparison of Batch 2 cases and TRANSIT propositions about transformative social innovation**

Based on the Batch 1 cases and the TRANSIT project’s first theoretical integration workshop three groups of propositions – concerning emergence, dynamics and agency - were developed which have served as background for the methodological guidelines for the Batch 2 cases (Wittmayer et al, 2015) . The three groups of each 14 propositions are shown in Annex 4.

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As the propositions had the Batch 1 cases as part of their origin and have served as background for the guidelines of the Batch 2 cases the relevant reflections at this stage is to discuss how a further development of the propositions, based on the Batch 2 cases, can inform the further development of transformative social innovation theory in the TRANSIT project. However, further reflections about the findings in the Batch 1 cases are also relevant, if the propositions and the experiences from the Batch 2 cases can inspire such new reflections about the Batch 1 cases.

## 7.1.1 Reflections about the propositions focusing on emergence of social innovation

The first group of propositions focuses on how social innovation emerges, moves and expands across time and space. A general reflection is that the propositions in this group are not sufficiently focused on the different types of analyses that are done in the case studies. The TRANSIT cases are characterised by the linked analyses of the emergence and diffusion of the transnational network and the in-depth studies of local initiatives.

Especially the dynamics at the transnational level is **not** well-covered by the propositions. This includes the growth of some transnational networks into a global coverage, some within a rather short time period, like with Participatory budgeting and the Transition Network (organising Transition Towns), and others during a longer period, like the international association of co-housing. In both cases the international coverage could indicate an impact of this type of social innovation in itself, although there is a big difference from network to network what a membership of a transnational network implies.

Proposition 1.11 could be developed further in relation to the international diffusion of social innovation through transnational networks: *"The **movement and expansion** of SI is facilitated by processes of comparison and competition by actors (both SI-actors and 'intermediaries') **operating between different contexts, regions and institutions**".* In chapter 4 the analyses have focused on the different types of dynamics at the transnational level and at the local / national level, and typologies were developed for:

- Development patterns at local level with focus on:
  - Initiation and start-up patterns of local social innovation initiatives, including whether initiatives interact with a transnational network of similar initiatives
  - Growth and development patterns of local initiatives
- Development patterns at the transnational level with focus on:
  - Diffusion of international networks with focus on how networks are trying to expand or diffuse the social innovation they focus on
  - Characteristics of the expansion of international networks, which focus on why local initiatives are joining a transnational network and which local initiatives that join

Besides the typologies for development patterns, typologies about the general characteristics of social innovation were developed in chapter 4 with focus on:

- What is socially innovative about the initiatives?

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- What are aims and values of the social innovation initiatives?
- How are the initiatives trying to make a difference from existing social practices?

The diversity in the findings – both in Batch 1 and Batch 2 case studies indicate a need for development of theory elements that focuses on different types of social innovation fields (see also section 7.2) and different types of social innovation initiatives. A further development based on propositions 1.1 – 1.4 could build upon the typologies developed in chapter 4.

The case of seed exchange within the Seed Movement indicates that a recent social innovation can be an old practice that has come under pressure from new practices (new types of seeds and new laws concerning seed exchange) which has caused civil society organisations to fight for the right to sustain an old social practice.

## 7.1.2 Reflections about propositions focusing on dynamics of social innovation

This group of propositions (“group 2”) is based on a relational and co-shaping approach to social innovation and societal changes. Propositions 1.12 – 1.14 (“group 1” propositions) relate also to aspects of co-shaping of social innovation initiatives and existing institutions.

The wording of the propositions about dynamics of social innovation resembles an understanding of transformative social innovation which is an on-going process of higher and higher impact, which ends at a level of permanent “transformative impact”, like in proposition 2.5.: *“For SI to have transformative impact, it must challenge, alter and replace established institutions across all institutional logics (i.e. market, state and civil society).”*

And in proposition 2.11: *For SI-initiatives/networks to have transformative impact, they need to ‘play’ (make advantageous) relationships with established, institutions and actors in ways consistent with their transformative ambitions. This may follow dispositions such as complying, irritating, avoiding, resisting, compromising, hijacking.”*

These descriptions do not fit with the on-going processes of progress and setback that the Co-housing case shows in its analysis of the local initiative in Argentina, where the co-shaping between co-housing as social innovation and the changes in the Argentine economy has implied both expansion, then bankruptcy and later again “recovery” and a renewed societal impact.

Also one of the cases from Batch 1, the Danish local manifestation of INFORSE, which could be called “the Danish energy movement” has experienced an on-going process of progress and setback, at least when it comes to development of onshore wind turbines, which at the moment is in crisis because local opposition in many Danish municipalities make the city council reframe from further planning of where future wind turbines could be placed. In this case the crisis can be seen as a result of the co-shaping between wind energy as renewable energy source and a capitalistic approach to development of wind turbines as profitable investment area, where local wind turbine projects have low local ownership and might not generate any economic benefit for the local community where the wind turbines are installed. The Danish INFORSE member has in



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this situation involved itself in renewed efforts for promoting different modes of local ownership, which can be seen as a new social innovation.

Also the Batch 1 case Living Knowledge, the international network of science shops, is showing complex patterns of long-term transformative impact, where science shops as strategy for opening up universities to civil society is “in crisis” in the “old” science shop countries like the Netherlands and Denmark, while new science shops are emerging in some countries in Southern Europe, including France, Italy, and Greece, based on the activities in the international network of science shops, Living Knowledge.

Proposition 2.13 seem to indicate the possibility of “sudden impact” or “fast impact” of social innovation when talking about “exploiting situations”, which could be discussed in further analyses of social innovation processes like in the Argentine Co-housing initiative and maybe also some of the changes in the co-shaping between renewable energy and national and local climate strategies: *“SI-initiatives/networks (with transformative ambitions) can achieve transformative impacts by exploiting **situations** where intersecting or overlapping (or contested) institutions (in the social context) create opportunities for institutional change.”*

The theory elements about transformative impact need to be developed further and discuss issues like:

- What does “transformative impact” mean? What changes are observed?
- What time period is in focus in analyses of transformative impact?
- How can processes of co-shaping through “mainstreaming” of social innovation be analysed?

The theory needs also to be developed further with respect to the underlying understanding of “social innovation” as phenomenon. The propositions seem to be based on an understanding of social innovation as “a social innovation”, like a certain method or technology. The cases of Co-housing and INFORSE indicate a process of progress and setback and of on-going development of new social innovations, like the several social innovations which Danish energy movement has initiated during its 40 year history: joint wind turbine innovation, cooperative wind turbine ownership, national low-carbon transition visions and energy refurbishment of houses through existing local homeowners’ associations.

## 7.1.3 Reflections about propositions focusing on agency and transformative change

This group of propositions (“group 3”) focuses on agency as part of transformative social innovation. Like the other groups of propositions this group does in general not distinguish between local social innovation initiatives and transnational social innovation networks.

However, proposition 3.3 is one of the few propositions that acknowledge the analyses of the role of the transnational networks, which are part of the TRANSIT case studies:

*“Networks and especially transnational networks enable SI-initiatives to gain access to specialized (what does this notion refer to?) actors outside of their original constituency.”*



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Chapter 6 gives detailed accounts of both processes of social learning and of resourcing in the transnational network, which can be a strong base for development of theory elements about the transfer (“travelling”) and local appropriation of such processes and resources in social innovation initiatives. There is a potential for development of theory elements by combining with the typologies developed in chapter 4 about these aspects.

Proposition 3.4 addresses cooperation and alliances between different social innovation initiatives: *“SI-initiatives/networks (with transformative ambitions) can increase their agency (/transformative impact) by interacting with other SI-initiatives/networks (forming ‘clusters’ and/or a ‘field’) to create alignments (around visions, strategies and actions).”* Among the Batch 2 cases, the direct and indirect relations between Slow Food, Via Campesina and the seed movement could be applied to develop this theory element further.

For the Batch 2 cases Theories of Change have been analysed, which enable a development of theory elements related to proposition 3.6, which addresses theories of change:

*“Having theories of change that explicitly, and adequately, address TSI dynamics (how SI interacts with transformative change) increases a SI-initiatives transformative potential/s and transformative impact/s.”*

There is not least need for development of theory elements that analyse how such theories of change are developed, for example to what extent they built upon reflections about experiences from attempts to influence societal development and *whether and how* such theories of change can develop the transformative potential or impact of a social innovation initiative as the proposition indicates.

These analyses should also relate to proposition 3.2, which argues that social innovation initiatives should develop *portfolio* of strategies:

*“SI-initiatives/networks can increase their agency (/transformative impact) by developing a portfolio of **different** strategies for **different** aspects of the social context.”*

There is need for developing the accounts and analyses of agency strategies in chapter 6 further. The present accounts and analyses are not combining the strategies of the initiatives into portfolios. In the development of these theory elements the relational element and the changes in the strategies over time should be included. These aspects are not part of the proposition. The analyses in chapter 6 can be combined with the analyses in chapter 5 of the dynamics of the social innovation initiatives.

Chapter 6 includes detailed accounts and typologies of external governance, but the propositions about agency are not addressing the issue of external governance explicitly. The accounts and typologies of empowerment and disempowerment in chapter 6 are neither covered by the group of propositions focusing on social innovation and agency. This calls upon development of theory elements that address these aspects of transformative social innovation. This development of theory elements should combine the analyses of empowerment and of external governance with the analyses of co-shaping of social innovation and existing practices and institutions in chapter 5. Proposition 3.8, which addresses the transformative ambitions of social innovation initiatives, can be used to develop these theoretical aspects:

*“The transformative ambitions of SI-initiatives/networks differ not only in the extent to which they aim to challenge (alter and/or replace) existing structures and institutions (in the social context) but*

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*also in terms of how 'radical' (how fundamentally different from present arrangements) are the institutional changes that they propose".*

Both chapter 4 and chapter 6 include analyses which address the transformative ambitions of the social innovation initiatives. These chapters should be used to develop this theory element further.

The transformative impacts, which the case studies in TRANSIT have identified, are limited. Nevertheless, the analyses of agency in chapter 6 are important in the development of theory elements, which focus on empowerment of social innovation initiatives and networks. The concept of empowerment (competence, impact, resilience) applied in TRANSIT is focused on the collective dimensions on empowerment. The propositions in group 3 are weak on this aspect and cannot give much guidance in this aspect of theory development.

## 7.2 Ideas for further analyses and theory development based on the case studies and case comparisons

This section presents ideas for further analyses which could be done based on the case studies and on the case comparisons in this publication.

### 7.3.1 Development of patterns integrating aspects of emergence, dynamics and agency

One of the further analyses could be development of patterns across aspects of emergence, dynamics and agency of the different cases in order to understand the transformative dynamics of social innovation better. With reference to the themes of the three research perspectives in Batch 2 - emergence, dynamics and agency - the aim of such patterns could be explained like understanding the emergence through the aspects of agency and the dynamic co-shaping of social innovation networks and initiatives and societal conditions and institutions. It would be interesting to analyse whether and how changes over time in (strategies for) agency take place in interaction with reflections about impact (or lack thereof) as a kind of reflective / reflexive governance. There is clearly a potential in combining the analyses of external governance as part of agency with the analyses of the dynamics of co-shaping of social innovation initiatives and existing institutions.

The development of patterns should include an explicit analysis of the transnational travelling and transfer of concepts and resources among local initiatives within the transnational networks in the different case studies. The Batch 2 case reports include maps of the geographical coverage and its development within the transnational networks, which could make such an analysis "stronger" than for the Batch 1 cases where this aspect was not covered that systematically.

One of the aspects that could be covered in such analyses is the inter-continental travelling and transfer of concepts and other resources between Latin America and Europe where the combined pool of Batch 1 and Batch 2 cases include both cases with social innovations that have their origin

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in Latin America (Via Campesina and Participatory Budgeting) and cases with origin in Europe that also have local manifestations in Latin America (for example DESIS Labs).

A way of increasing the analytical awareness and sensibility towards such patterns is to compare emergence, dynamics and agency within different local initiatives within the same case study. Table 5.3 shows some examples from Batch 1 of such observations.

## 7.3.2 Analysing the applicability of the Doing, Organising, Framing and Knowing approach to analyses of social innovation processes

The methodological guidelines D4.3 included the model of characterising as a way of characterising social innovation (processes) through changes in Doing, Organising, Framing and Knowing. However, as the analysis in chapter 4 indicated the concept has not been used systematically in all case studies. This can be due to difficulties in distinguishing between the different 'categories' (Doing etc.). In the further theory development the Batch 2 cases offer the possibility of analysing the possible role of this approach in transformative social innovation theory. Table 4.X includes an overview of the use of the approach in the Batch 2 case studies.

## 7.3.3 Analyses of empirical clusters of social innovation cases

Table A3.1 in Annex 3 shows social innovation fields covered by the 20 case studies. The table shows the number of cases within four different social innovation fields (new economy, sustainability and resilience, transformative science and education and inclusive society), which indicates the potential for doing more field specific case comparisons. Two such analyses are presented in Part 2 of D.4.4 (about New Economy and about Inclusive Society). Table A3.1 in Annex 3 could inspire more field-based comparisons, for example cases related to food and agriculture.. The table could also inspire analyses across cases with focus on specific actors, spaces or places and includes a column with cases that include creation of spaces for social innovation. Such more focused and specific case comparisons might show whether and how transformative social innovation theory needs to be or can be developed to be more sensible to socio-material characteristics of the social innovation field or more sensible to spatial aspects of social innovation processes.

## 7.3.4 Analyses of national dynamics of social innovation

Table 5.4 showed the distribution of the 42 local initiatives that have been analysed in Batch 1 and Batch 2 on the 12 countries – 2 Latin American and 10 European – that have been the origin of the initiatives. In 10 of the countries - 2 Latin American and 8 European – at least two local initiatives within different cases have been analysed. An analysis of the group local initiatives within a specific country, maybe done in parallel to a similar analysis in another country, can contribute to the discussions of national social innovation dynamics. Such analyses can both contribute to more overall transformative social innovation theory, but can also be relevant in the development of national strategies, capacity development, etc.. in relation to social innovation.

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## Annex 1: Table with Batch 1 and Batch 2 cases and their social innovation fields

**Table A1.1: Overview of the Batch 1 and Batch 2 cases (networks) and social innovation fields they relate to**

Case no.	Transnational Networks under study in TRANSIT project	Coordinator	New economy	Sustainability and resilience	Transformative science and education	Inclusive society
1-1	The Impact Hub	DRIFT	X			
1-2	Ashoka	ESSRG	X			
1-3	Time Banks	UM	X			X
1-4	Credit Unions	UDC	X			X
1-5	RIPESS	ULB	X	X		X
1-6	FabLabs	SPRU			X	
1-7	Hackerspaces	SPRU			X	
1-8	Living Knowledge Network	AAU	X	X	X	
1-9	DESIIS-network	UFRJ		X	X	
1-10	Global Ecovillage Network	BOKU	X	X	X	X
1-11	Transition Network	UEA	X	X	X	X
1-12	INFORSE	AAU	X	X	X	
2-1	Slow Food	UDC		X	X	
2-2	Via Campesina	UNQ		X	X	X
2-3	International Co-operative Alliance (Housing)	UNQ	X	X	X	X

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2-4	Int. Obs. for Part. Democracy	UFRJ	X			X
2-5	Shareable Network	IHS	X	X		X
2-6	Living Labs	IHS			X	
2-7	Basic Income	UM	X			X
2-8	Seed movement	ESSRG	X	X		X



## Annex 2: Tables for analysis of agency in Batch 1 and Batch 2 cases

**Table 1 - Theory of change**

Network / Local manifestation	Theory of Change
Basic Income Earth Network	<p>A theory of change is not explicit because BIEN mostly aims at research related to the Basic Income and not so much for its implementation. However, given that a BI can only be implemented in the course of reforming welfare, fiscal and unemployment policies, spreading societal awareness, increasing political support and eventually implementing a BI at a national level is probably the most widespread held theory of change within BIEN. Variations include a step-wise approach with a rather low initial BI for all or a somewhat higher, conditional (= partial) BI.</p> <p>While BIEN relies on conventional methods to “spread the word”, such as media and event appearances, some of its affiliates, including UBI-Europe are exploiting social media much more and again others, namely the crowd-funding initiatives (who are not affiliated with BIEN), aim to help as many people as possible to experience and witness the benefits of an unconditional Basic Income.</p> <p>A very traditional ToC for social movements: national, top-down, political implementation. Yet the reliance on government reform seems quite exceptional for SI-initiatives. (This idea is now challenged by younger and perhaps more socially innovative initiatives, like the crowd-funding groups).</p>
Basic Income Germany	<p>There has not been a change in the theory of change which, since the start of the network, focuses on the one hand, on creating societal awareness and broad support for the concept and on the other hand, on creating political support for the idea.</p> <p>The Freiheit statt Vollbeschäftigung initiative has similar goals but uses different, more small-scale strategies of planting strategic impulses.</p> <p>There is an important difference between the ToC of the Netzwerk Grundeinkommen and the ToC of the Mein Grundeinkommen crowd-funding initiative: while the Netzwerk continues focusing on abstract debate and seeks to convince people until full implementation for everyone is achieved, the crowd-funding initiative aims to let as many people as possible experience what it means to receive a Basic Income and hopes to create more support for the idea this way. They both regard each other critically.</p> <p>The Netzwerk uses the classic, modern tools to shape discourse.</p> <p>The Freiheit statt Vollbeschäftigung initiative does not aim to grow in terms of members but to provide relevant impulses.</p> <p>The crowd-funding initiative follows a very different and socially innovative approach of letting people experience a BI.</p>

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<p>Basic Income Netherlands</p>	<p>VBI has started out with the theory of change that political parties and politicians should be convinced of the concept's merits - and then implement it nation-wide. The trust in this strategy has changed somewhat, targeting rather public debate and individuals, but the political route of government reform remains the main theory of change.</p> <p>MIES poses an interesting contrast, in its civic initiative, crowd-funding and setting up of local alliances between socially innovative citizens and governments. They believe that national government should be circumvented, as a conservative force.</p> <p>An outlier case: The concept of universal Basic Income implies broad outroll by government as key actor (and as agent in control over the resources)</p>
<p>Co-housing Network</p>	<p>In 2014, the ICA-Americas held their Summit III. In the interviews and meetings and in the publications review it was possible to identify how the visions and narratives of the movement turn into strategies of change. These are challenges of the cooperative movement in general and in particular for co-housing.:</p> <ol style="list-style-type: none"> <li>1. Integration and social cohesion: In Latin America are more than 250 million people linked to the cooperative sector, according to the actors themselves, they have failed to draw attention to the social and economic impact of cooperatives.</li> <li>2. Innovation for the transformation of society: With innovation for social transformation, ICA aims to analyze and display the new cooperative models that have emerged in response to the changing context, and will require new strategies for research, innovation and new forms of collaboration.</li> <li>3. Growth, internationalization and identity: It is a challenge to maximize the competitive advantage of the cooperation and increase the impact and reach of cooperatives to regional and global level without affecting the cooperative identity.</li> <li>4. New and prospective cooperative society: The cooperative provides a social and economic model that builds a better world, because it puts the person at the center, shared wealth, promotes more democratic and participatory societies and is committed to the environment and communities</li> </ol>

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	<p>For leaders of the Alliance, one of the most important features of the cooperative movement at the international level is the social empowerment of the cooperative. The co-housing model proposes alternative forms of life through self-management and associativism; collective ownership and direct democracy. "In my view the most remarkable element of the model of co-housing is: People having in their own hands the destiny of the community, it makes the further development of the people themselves. Because we cannot speak effectively for participation if the political leadership is not in the hands of the same stakeholders"(Gustavo Gonzales, Coordinator of the Regional Program of Housing and Habitat for Latin America).</p> <p>This is not necessary the case of each particular co-operative of local federation. This is not the case of the cooperatives working in Vauban, where the commitment is more related to foster civil participation and development green construction alternatives</p>
Co-housing Argentina	<p>The EHO vision is explicit in its central purpose: "Beautify life cooperate to satisfy needs and desires in society". To achieve this, the Cooperative the Working Home holds as core values which constitute the main transformative tools:</p> <ol style="list-style-type: none"> <li>1- Integrity, from a behavioral model in constant search of moral perfection, with unwavering integrity and absolute honesty;</li> <li>2- Education, as the basis for formation of cooperators and generating of cooperation and moral elevation;</li> <li>3- Free cooperation, referring to the "solidarity for do" implementation "now or never" for the "moral perfection" through work and solidarity.</li> </ol> <p>Linked to these goals, in the last five years EHO implements three distinct strategies.</p> <ol style="list-style-type: none"> <li>1- Retrieve national and international viewing. At present, EHO is in a recovery and repositioning phase of the cooperative movement in Argentina.</li> <li>2- Recover membership through an active campaign on the trajectory of the cooperative throughout the twentieth century.</li> <li>3- Back to the beginning of EHO as national and regional reference in co-housing construction. Evidence of this is the project of Paso del Rey neighborhood and projects in Buenos Aires city.</li> </ol> <p>The main innovative aspect of the SI initiative EHO is savings and mutual aid cooperatives. Historically EHO is a founding institution of cooperative values in Latin America, and after 100 years and a bankruptcy on your shoulders, is responsible for more than 50 co-housing projects in Argentina. Against housing policies that leave the access to decent housing to market, EHO says that free association and cooperation are the way to build lifestyles that guarantee the rights of individuals.</p>
Co-housing Freiburg	<p>In terms of social innovation, Vauban is the creative 'product' of a strong environmental and alternative movement in Freiburg. It can be seen as a unique and successful citizen-supported initiative to create an ecological, socially just city quarter with a completely new level of citizen involvement in the course of planning and building processes.</p>
Enoll Network	<p>Living Labs are in a small local ecosystem, focused around innovation. Within the living labs ideally new connections are made already, but besides that, the Living Labs dialogue with other local actor ecosystems (this means other ecosystems than living labs) and in that process new connections are made and that is where change can manifest itself.</p>
Enoll Eindhoven	<p>There is a strong believe that technology and data will play a crucial role in the future. Eindhoven wants to be leading and on top of the developments. They want to have technological know-how, but they also want to know what social, economic, political and</p>

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		legal aspects need to be addressed. There is a tension between the power of control and controlling with data and of using it to increase openness and transparency.
Enoll Manchester		Theory of change is getting funding and doing projects. Including people in tech projects
Participatory Budgeting network	IOPD	<p>The 1st IOPD conference affirmed the need to alter the way the representative democracy in municipalities operates, towards more participatory ones. Municipalities are considered the only entities enabled to radically change the differences in society and to face the negative aspects of the neoliberal policies and globalization, considered as authoritarian processes which take place due to the hegemony of the financial capital. The concentration of power in supranational spheres, such as the IMF, the WTO and the United Nations were considered to weak the sovereignty of the state and of democracy itself.</p> <p>The 13<sup>rd</sup> IOPD Conference, stated “The presence of the State in this new world that emerges from the street demonstrations is essential, and this in opposition to neoliberal theories proposing the reduction of its role. Over the past five years, demonstrations (...) represent something new, a horizontal structure, networked, on which all are protagonists, a fragmented action, multifaceted, with hundreds of causes that mobilize a crowd, which is an expression of thousands of individuals. We believe that we are living the birth of a new movement founded on participatory democracy and constituting a new citizenship on a global scale, the sum of thousands of wills and intelligences that multiply, interact and share (...) In this context, on which there is a crisis of representative democracy, the role of networks, organizations and governments is to promote and encourage, in different countries, actions, initiatives and tools to spread participatory democracy. For this reason, the OIOP members at the General Meeting renewed its commitment to keep working to promote a more participative democracy in the world through a strategy based on a cooperation network and using the new tools for communication and information.” {translation from Portuguese} (OIDP Conference, 2014).</p>
Participatory Budgeting Alegre	Porto	The implicit vision of this SI-initiative consists of giving power to the citizens. The underlying theory is that as you give power to citizens they can better decide on how to use municipal budgeting to tackle real needs. This vision and theory of change became explicit when mechanisms were created that enabled the institutionalization of People’s Councils and, later on, the PB itself. A further aim was to activate popular participation within the government. The vision did not change over time, although it underwent minor modifications, because the SI-initiative and its vision, had become natural to its actors. Those small changes can be considered the empowerment and disempowerment of relationships in the linkage between government and society. During the second period, perhaps the government strategy relates to social mobility, giving employment to those who were volunteers and increasing the empowerment of some in comparison to the disempowerment of others.
Participatory Budgeting Amsterdam		In its original Brazilian context, budget monitoring is strongly framed in a human rights and emancipatory discourse, and focuses on governmental transparency, social justice, fighting corruption and gaining political influence. This follows from the identified problem that there is huge gap between a governmental commitment to the Universal Declaration of Human Rights and an actual translation of this commitment in policies and budgets. This vision is closely connected to the realization of human rights to increase social justice through ensuring the fair redistribution of resources. More plainly it is “ <i>to establish concrete relations between public budget, guarantee of rights and confrontation of social inequalities</i> ” (CBB and INESC 2012: 19).

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		<p>This original vision has become diluted or adapted through its translation to the Dutch context. While, this thinking lives on in the discourse and practice of some, the emphasis shifted for the currently mainly involved actors in the processes in the Indische Buurt towards revitalizing democracy through citizen commitment and responsibility. <b>Actors</b> who can drive this envisioned change (i.e. realization of human rights and social justice as well as revitalization of democracy) are active and empowered citizens in the original discourse. These can use different <b>means</b> such as budget monitoring to hold their governments accountable for and influence their spending. Education is an important <b>way</b> through which to bring about change. Therefore a strong emphasis is on the training elements that are part of every budget monitoring iteration in the Indische Buurt.</p> <p>In the Indische Buurt this dialectic between citizen and governments is less pronounced. Possibly due to the long standing collaborative governance culture of the Netherlands, also the local government is seen as a change agent. Change is seen to come about through the collaboration of the citizens and local governments and administrations. For the Director of the CBB, methods such as budget monitoring facilitate communication between citizens and state organs through creating a common language</p>
Seed Exchange network	-	Transnational Seed Movements empower local initiatives to fight for access to seed, promote saving and exchanging seed and thus create a movement to change the agro-food system.
Seed Exchange Hungary	-	Larger changes in society are envisioned through such interpersonal transformative experiences. Through promotion of saving and exchanging seed the initiative facilitates change in access to seed, creates alternatives in the agro-food system. The informal, voluntary and autonomously emerging network of dedicated individuals creates a social agency that brings difference in seed diversity in the local communities where the events, workshops, trainings are organised.
Seed Exchange Brighton	-	No explicit theory – community participation is implied in the framework, awareness leads to changed attitudes
Shareable – network		<p>As the ‘sharing transformation’, it is mainly approached as a ‘personal transformation’, the (sense of) agency that people develop is paramount in the work of SSC. The personal transformation of individuals can lead to an increased sense of agency on the community level. It is a conviction at Shareable that the transformative power of sharing can make people more joyful as it favours wealth distribution and processes of community-building (Shareable – Mission &amp; Values, unknown).</p> <p>A change within this ToC has not been detected.</p>
Shareable – NIJMEGEN	1	Developing agency is core to SCN and can be traced back to SCN initiator Nils Roemens development of the Durftevragen and Waarmakerij concepts. People are brought in situations where they realize their own potentials – and realize that others are happy to help them.
Shareable – 2 GIJON		<p>Slow Food is considered a new social movement that proposes a “radical shift in consumption paradigm” where consumption is a political action and consumers are political actors able to change the food system and politics with their responsible acts. For food security, the right to food, can only be achieved by respecting cultural diversities, which create physical and psychological well-being inside communities, and also small local economies, which take care of their areas and revitalize business activities and human growth to become universally repeatable and adaptable model experience.</p> <p>SF aims to build a “convivial society” (against utilitarianism and the production systems).</p>

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	<p>This conviviality would reinforce the common good and the capacity of every individual to shape his or her own future Slow Food consider that “small-scale agricultural production, well-rooted local economies and food artisans could be the leading players of conviviality”. SFI discourse have evolved over time “it began with an initial aim to defend good food, gastronomic pleasure and a slower pace of life (eno-gastronomy), and then logically broadened its sights to embrace issues such as the quality of life and the health of the planet that we live on (eco-gastronomy).</p> <p>Being a counter-movement that aims to collaborate and change the mainstream system: “Slow Food defines as a “counter movement” ... I wonder sometimes...You know...we debate and we are trying to build a total parallel food system so you have the bad food system and then a Slow Food System in parallel or we are trying to change the bad system into a good system. You know...there are logical ways of doing that...ahm...I firmly believe that the bad food system is so large and so embedded that it will never go away. Right? We are so many people to feed you know...If we are really got to produce a new food system we have to involve the old food system too. We have to somehow whether is through the government, or through the CEO’S or whatever we have to see zones where the shift happen so that people start moving forwards a Slow Food System” (quote_SFI_06)</p>
Slow Food – network	<p>Slow Food is considered a new social movement that proposes a “<i>radical shift in consumption paradigm</i>” “where consumption is a political action and consumers are political actors able to change the food system and politics with their responsible acts. For food security, the right to food, can only be achieved by respecting cultural diversities, which create physical and psychological well-being inside communities, and also small local economies, which take care of their areas and revitalize business activities and human growth to become universally repeatable and adaptable model experience.</p> <p>SF aims to build a “convivial society” (against utilitarianism and the production systems). This conviviality would reinforce the common good and the capacity of every individual to shape his or her own future Slow Food consider that “small-scale agricultural production, well-rooted local economies and food artisans could be the leading players of conviviality”. SFI discourse have evolved over time “<i>it began with an initial aim to defend good food, gastronomic pleasure and a slower pace of life (eno-gastronomy), and then logically broadened its sights to embrace issues such as the quality of life and the health of the planet that we live on (eco-gastronomy).</i></p> <p>Being a counter-movement that aims to collaborate and change the mainstream system: “<i>Slow Food defines as a “counter movement” ... I wonder sometimes...You know...we debate and we are trying to build a total parallel food system so you have the bad food system and then a Slow Food System in parallel or we are trying to change the bad system into a good system. You know...there are logical ways of doing that...ahm...I firmly believe that the bad food system is so large and so embedded that it will never go away. Right? We are so many people to feed you know...If we are really got to produce a new food system we have to involve the old food system too. We have to somehow whether is through the government, or through the CEO’S or whatever we have to see zones where the shift happen so that people start moving forwards a Slow Food System</i>” (quote_SFI_06)</p>
Slow Food Spain	<p>Slow Food Araba-Vitoria manifests their commitment with the aims and objectives shared by the international network. Also, we observed a local discourse coherent with the</p>

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	principles and discourses of change that the international association reflects.
Slow Food Freiburg	<p>The approach of SFFR sounds very humble. The common values are most important also in their private cooking and small scale events. Members are open to other and new ways of cooking under the common values of natural food. They live their small-scale events and snail tables, cook privately and make donations to the national and international movements.</p> <p>Nevertheless, their narrative of change becomes visible in their enthusiastic engagement in education for natural food with practical approaches, mainly their project to cook with students and children in elementary schools in less-educated milieus with the Junior Slow Mobile.</p>
Via Campesina Network	The vision of social transformation of the LVC movement seeks to empower farmers by giving them the tools and strategies to defend their rights to land, to preserve their way of life and to promote a global reform linked to a new production system and agro-ecology.
Via Campesina - MOCASE	The vision of social transformation of the MOCASE-LVC seeks to empower farmer by giving them the tools and strategies to defend their rights to land and to preserve their way of life promoting agroecology production.
Via Campesina - MAGOSZ	The collective and cooperative-based structure of Hungarian agriculture led to the development of an 'employee mentality' of farmers lacking an autonomous farming approach. Despite existing awareness raising and capacity building programmes, offered by various institutions, Hungarian farmers today, do not have the capacity to actively participate in decision making processes and carry out, but not even initiate transformations in the society. 'Hungarian farmers are not pro-active, it is a real miracle, once you manage to mobilize them for an issue, which, in fact would support them. They have neither time nor the capacity, and lack the communicational channels of promoting themselves. Due to the existing low margin between market prices and the amount of investment, smallholder farming is unable to support itself and the family working the land and have extra resources required for its advocacy' (as to one of the interviews). Developing the sense of agency by farmers is therefore not significant.

**Table 2 - Dis/empowerment processes**

Network / Local manifestation	Dis/empowerment processes
Basic Income Earth Network	<ul style="list-style-type: none"> <li>• BIEN is empowering and empowered by other actors (especially BI-supporting policy-makers, journalists and political activists) who promote the idea of a Basic Income and receive scientific backing for their arguments through BIEN's work.</li> <li>• BIEN is empowered by the political developments in various countries which suggest that Basic Income is a (morally, politically, socially or economically) good idea.</li> <li>• BIEN is disempowered by BI-critique. While some aspects of the BI-concept may be supported by many, still a broad majority believes that no one should get "anything for nothing" and that one has to rightfully earn one's income by having a "proper" job. These still prevailing lines of thinking are disempowering BIEN's position.</li> </ul>
Basic Income Germany	<ul style="list-style-type: none"> <li>• The activities of the national Netzwerk Grundeinkommen empower political actors supporting the idea and the many regional or local sub-networks seeking to promote the idea.</li> <li>• There are processes of mutual empowerment by providing legitimisation of and</li> </ul>



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	<p>show-casing broad support for the idea between the German Netzwerk, the transnational BIEN network and the many other national Basic Income networks and initiatives.</p> <ul style="list-style-type: none"> <li>• Some political and societal developments empower the Netzwerk in the sense of legitimising its work, e.g. statistics related to child poverty, old-age poverty and financial struggles of single parents, especially single mothers.</li> <li>• There are also moments of disempowerment when the idea the Netzwerk seeks to promote is (often harshly) criticised by prominent politicians.</li> <li>• Media attention can be empowering or disempowering, depending on how BI or the Netzwerk are discussed. Netzwerk members think their media outreach can be improved (skills they currently lack).</li> </ul>
Basic Income Netherlands	Crucial empowerment for both VBI and MIES is the public/media/political attention for their new framings/knowings. They also are empowered by the scientific backing/arguments underlying their ideas – and in case of VBI, by the perceived moral rightness of Basic Income.
Co-housing Network	<p>The practices of the International Cooperative Housing empower its members through building a global organization, with visions, goals and objectives framed in cooperative values.</p> <p>Participation: the transnational network of housing co-ops recognize participation as member engagement in the democratic and community life of the co-op.</p> <p>Sustainability: housing co-operatives place a priority on long term economic success over short-term, unsustainable financial benefit through comprehensive asset management and long-term financial planning.</p> <p>Identity: what sets housing co-ops apart from other forms of housing is a unique co-operative identity, as defined by the core values of co-operation and the international co-op principles. Identity is fundamental to housing co-op members as they live, work and interact daily within a co-operative community. Housing co-ops actively communicate their co-op identity, both internally among members and within the broader community.</p> <p>Legal Frameworks: the success of co-operative housing enterprises depends on enabling legal and regulatory frameworks.</p> <p>Financial Capital: co-housing network experiences are capital-intensive forms of enterprise.</p>
Co-housing Argentina	<p>In the last two decades, EHO was inserted into the debates on urbanization of Buenos Aires and the metropolitan area as an active organization. This made it through their media, like the newspaper La Vanguardia, and in political level, through the Socialist Party and its own action in everyday folk practices such as consumption and housing.</p> <p>In 2015 the debate on the right to the city, not yet incorporated in the legislation continues. The creation of a law on access to habitat clearly represents a way to empowerment housing cooperatives. First as active players in housing policy agenda; then, in terms of real empowerment, because now have a state law that supports and promotes cooperative practices. While traditional forms of access to housing (direct purchase, individual self-construction or outsourced), continue to dominate social practices, the law reflects the relative importance of movement, and the EHO as a founding institution.</p>
Co-housing Freiburg	<p>The top-down-bottom-up planning process and its controversials as already mentioned.</p> <p>Most of the aspiring Vauban citizens were ready to work voluntarily in the participatory planning processes and to participate in the organization of their co-housing projects. Empowerment was felt by getting to know ones neighbours beforehand and being able to plan the house and also the surrounding area.</p>
Enoll Network	Many initiatives rely on subsidy and this can reduce their autonomy; it remains a challenge to make living lab initiatives more (financially) sustainable



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		<p>The funding of ENoLL relies on membership fees and project funding that is the result of the active acquisition of the ENoLL staff, this structure ensures that the focus of ENoLL remains on its members (it is NOT subsidized)</p>
Enoll Eindhoven		<p>There is idealism of empowerment and connecting to the citizens behind the initiatives in Eindhoven. There is much eagerness to move from the triple to the quadruple helix. However, it is not easy to make this step.</p> <p>Also in the more professional arena there seems to be step to make. Many involved professional actors are white men above 40 years old. It seems hard to also get another generation and group of professionals involved.</p>
Enoll Manchester		<p>Empowerment arose through LL certification helping boost the reputation of local organisations locally</p> <p>Also, helped some individuals network at European level and stay involved in large European projects (funds)</p>
Participatory Budgeting network	IOPD	<p>The (dis)empowerment of those involved IOPD network varies accordingly with the different kinds of membership they may have with the network. (see internal governance about memberships)</p> <p>For the associate members, and referred to the officials and civil servants from municipalities, such as those working in the city hall of Porto Alegre, being a member of OIDP expresses a kind of activism in a way they are embedded by a sense and duty of transformation of their local contexts through participatory democracy practices. At the same time, IOPD empowers them by providing international reputation and recognition to their local work on PD. For the entire Municipality, the local organization of OIDP conferences (alternately organized by different associate members each year) highlight its participatory democracy processes (and the civil servants/officials involved). For one year the city becomes the “world capital of participatory democracy” (Municipality of Canoas in 2014, for ex.).</p> <p>For collaborating members, such as universities and research centers, it provides reputation to their research activities in participatory democracy and diffusion of their work when invited to be speakers in OIDP conferences. For associations, IOPD is mainly a source of information about PD practices but while some associations have an active role in IOPD, others do not.</p> <p>IOPD direct actions in relation to the empowerment of citizens may take place through the activities of the Local Observatories aimed to evaluate the quality of participatory experiences at the municipal level by incorporating citizen participation in evaluation processes. The ObservaPOA (the only local observatory still active and connected to IOPD) operates in this model. Citizens may feel empowered by the activities of the ObservaPOA, when it aims to disseminate knowledge about the city by building a broad base of information to support decision-making processes in PD. However</p>
Participatory Budgeting	Porto Alegre	<p>The sense of agency was developed through community solidarity. People became available to volunteer work that benefits the community. The main point in this involvement is basic needs; they give their time to fight for particular community objectives, such as improvement in housing, education and health. They have seen over time that their action towards the system has positive outcomes and developed a sense of making their environment better by their own work and commitment.</p>

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	<p>During the first period of the SI-initiative, the citizens were directly empowered by the process, during the second period some citizens have become more empowered than others. The ones empowered in either period feel they have gained leadership skills and confidence, as well as this, development of communication and managerial capabilities were mentioned during interviews. With this set of growing abilities, the citizens organize and participate in the process by monitoring and supervising it, where they can really evaluate its efficiency and truly feel its impact. Normally the community leaders have been involved in the PB process for a long time and even though they think the process has changed for the worse, they insist on it because they trust the possible outcomes. At the same time, the government adapts the process to environmental circumstances; therefore, the government and the citizen are adaptive and resilient.</p> <p>As time went by, the SI-initiative modified itself, inducing empowerment and disempowerment of different actors along the way. In the first period, the empowered actors were local leaders; today the process is much more dynamic (and not necessarily better for democratic participation) and has moments when distinct groups have strength over others. Porto Alegre's PB process has been a long and structured process since its origin. Over time the power relationships have changed and the movement has moved from "power to" people to "power over" people.</p>
Participatory Budgeting Amsterdam	<p>Empowerment of participants is explicitly mentioned as one of the effects of budget monitoring in the Indische Buurt. Participation in budget monitoring specifically and in participatory budgeting more general can be said to lead to enhanced feelings of competence and impact, as well as new knowledge and networks for those involved.</p> <ul style="list-style-type: none"> <li>- Training and education on public budgets</li> <li>- Putting citizen priorities on the agenda</li> <li>- Controlling the government instead</li> </ul> <p>At the same time there are also instances of disempowerment regarding the extence of influence by citizens and that participatory budgeting is used for legitimization of governmental plans.</p> <ul style="list-style-type: none"> <li>- Only legitimization of existing plans?</li> <li>- Complex matter of public budgeting can be disempowering</li> <li>- Structure stays the same with the municipal council in the lead</li> </ul>
Seed Exchange – network	<p>Processes to empower seed exchange actors:</p> <ul style="list-style-type: none"> <li>-- organizing interactions with other like-minded individuals for the protection of agricultural biodiversity, cultural heritage, and the skills and knowledge that sustain it,</li> <li>-- creation of seed banks or other means of ensuring access to seeds;</li> <li>-- facilitating exchange of seeds and knowledge among farmers (and in many cases with the scientific community);</li> <li>-- promotion of legislation at all levels that promotes all of the above</li> </ul> <p>Disempowering processes:</p> <ul style="list-style-type: none"> <li>-- Limited resources</li> <li>-- Voluntary basis</li> <li>--Disagreements between organizations</li> <li>--Potentially the inability to change legislation</li> </ul>
Seed Exchange – Hungary	<p>Processes of empowerment</p> <ul style="list-style-type: none"> <li>-- Interactions with like-minded farmers, gardeners, hobbyists for the maintenance of seed heritage and sustaining skills and knowledge of seeds,</li> </ul>

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	<p>-- Promoting exchange of seeds, access to seeds</p> <p>Disempowering processes:</p> <p>-- Limited resources and volunteerism</p> <p>-- Avoiding conflict zones around market and legislation</p>
Seed Exchange – Brighton	Participation in growing food as empowerment
Shareable – network	<p>According to Shareable, the main engine of the sharing transformation lies in the fact that embracing a sharing as a common pattern empowers individuals and communities in various ways, as well on the economic level as in enjoying life.</p> <p>[This question is not so clearly formulated]</p>
Shareable – 1 Nijmegen	<p>The SCN initiative is not naming any particular empower- or disempowerment processes. The different initiatives see the core group of Sharing City Nijmegen as empowering each of the initiatives, especially by sharing knowledge about possible organisation of sharing activities, knowledge about making people participate in activities and by trickling down inspiration. The core group is seen as very competent and trustworthy</p>
Shareable – 2 Gijón	<p>SF develops empowerment processes that enhance individual and collective power. Collective empowerment comes through the external recognition and international support that the social initiative receives and their capacity to create synergies with related social initiatives -and public institutions- and influence international and regional policies. Through the different role that each member play, practitioners can contribute to their community in a meaningful way. The main processes of empowerment are:</p> <ul style="list-style-type: none"> <li>- The construction of discourses that connect with human needs and emotional engagement. Developing a common identity, a collective vision of change, with a mission to develop, that transcends the local context and engage with other like-minded people worldwide.</li> <li>- Autonomous governance structure that permits the experimentation of freedom and autonomy of action and enhances conviviality and friendship relations.</li> <li>- Learning and empowerment outcomes of international big events like “Terra Madre”.</li> <li>- External governance and networking activity to gain social and political influence.</li> <li>- Empowerment through the status acquired in the recognition received abroad.</li> <li>- A strategic alliance with the mass media.</li> </ul>
Slow Food – network	<p>SF develops empowerment processes that enhance individual and collective power. Collective empowerment comes through the external recognition and international support that the social initiative receives and their capacity to create synergies with related social initiatives -and public institutions- and influence international and regional policies. Through the different role that each member play, practitioners can contribute to their community in a meaningful way. The main processes of empowerment are:</p> <ul style="list-style-type: none"> <li>- The construction of discourses that connect with human needs and emotional engagement. Developing a common identity, a collective vision of change, with a mission to develop, that transcends the local context and engage with other like-minded people worldwide.</li> <li>- Autonomous governance structure that permits the experimentation of freedom and autonomy of action and enhances conviviality and friendship relations.</li> <li>- Learning and empowerment outcomes of international big events like “Terra Madre”.</li> <li>- External governance and networking activity to gain social and political influence.</li> <li>- Empowerment through the status acquired in the recognition received abroad.</li> </ul>

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	- A strategic alliance with the mass media.
Slow Food Spain	<p>SFAV is able to fulfil the human needs – intrinsic and extrinsic motivations- that practitioners experience. Slow Food is coherent with personal values and ideologies; a common sensibility connects them to thousands of people around the world.</p> <p>Sense of personal power: Practitioners experiment satisfaction when they perceive the impact and efficacy of their activities in the local context but also in the international context. Personal relation and face-to-face communication between producers and consumers (“co-producers”) reinforce that sense of competence and perceived self-efficacy, which motivates them to keep working and innovating, new ways of relating, doing and framing regarding food system and local economy. Slow Food members feel very proud about their small contribution to social change. They feel satisfied about being useful, to have collaborated in a minimum scale to have achieved the goals, which reinforces their commitment with the organization.</p> <p>Empowerment through the status acquired in the recognition received abroad. The acknowledgement that several projects boosted by the local convivium have received from the International Network or other international institutions increases their influence, permits them to demand more attention and support for their work in Araba province. When the convivium participates in the International events organized by Slow Food (Terra Madre, Slow Cheese, etc.) local producers receive media attention, are reinforced and their capacity to influence in policy and local sphere increased. Also, their ability and capacity to engage the public, private and third sector in the same transformative project has been highlighted by their members and also by the local policy makers and community actors interviewed (section 4.1).</p> <p>- Gaining political influence through networking (external governance). The convivium suffered an evolution in their activity and political impact. In their beginning, they aimed to develop activities related to consumer's education, change people's consumption lifestyles and put in value the work of food producers. Nowadays, SFAV is interested also in changing certain regulations or policies, participating in social platforms or being consulted by policy-makers.</p> <p>- Media coverage. Slow Food members remark the relevance of getting a good relationship with press, especially local and regional media, that helped to the dissemination of their activities and to spread the slow food message to inexperienced audience and politicians.</p>
Slow Food Freiburg	<p>SFFR has gone through a transformation from a one leader governance practice to a decentralized system of sharing power and resources expressed with an organizational frame of ten resorts. In the early phase, SFFR was founded and led by one person till 2006. This central, engaged convivial leader organized everything. He was the driving force but also hindered engagement of others. In this phase the group was small and homogeneous till a maximum of 30-50 people (Interview SFFR5). Slowly the group started to grow; new members came in, and wanted to become active. The interviewed person told how the leader at this time tried to keep the people “under one hut” (Interview SFFR 5). It was difficult and unpleasant for new people; still the group was growing because of idealistic persons. In 2006, the leader was suspended from its leading role – finally because of misappropriate use of finances and wine and the case even went to court (interview SFFR 3, 5).</p>

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		<p>Fortunately, this situation did not cause any substantial loss of members or supporters. In contrast, it triggered a new feeling of community (Interview SFFR3) and a new freedom to engage (Interview SFFR5) amongst members after a change within the management of SFFR has been effected. Some members started to be engaged in administrative tasks and a new board could be elected. Also the structure has been completely changed, from a strong aggregation of activities and responsibility clustered around the founding leader person towards a structure of about ten resorts each lead by a department manager (see chapter internal governance). On the other hand, when the crises had been overcome, the dynamics inside the group lead to a diversification. In result, internal differences became more visible. "The revolution eats its children" was how one of the interviewees commented this process (Interview SFFR4).</p>
Via Network	Campesina	<p>Empowerment of the farmers:</p> <ul style="list-style-type: none"> <li>-New form of collective production to reflect and develop new production practices (such as agroecology) questioning deeply who produce, for whom they produce and how it is produced.</li> <li>- The struggle for "the land" is a flag understood in broad, shared, common terms, and means a way of production and a way of life.</li> <li>- The methodology of formation of "farmer to farmer" to empower the peasants has been very important, their knowledge and skills are conceived at the same level as the scientific and technological knowledge. There are different kinds of knowledge, but one does not prevail over the other.</li> </ul> <p>The main strategies to empower the peasants are the territorial articulation of each member and stimulating creativity to generate new strategies of intervention and social change.</p> <p>Disempowering large landowners and transnational agricultural and food companies:</p> <ul style="list-style-type: none"> <li>-Promoting a new form of sustainable and inclusive production, agroecology. And it works for the food sovereignty.</li> </ul> <p>LVC has developed explicit strategies like:</p> <ol style="list-style-type: none"> <li>(1) Communication networks about the struggles in the territories to confront the media monopolies;</li> <li>(2) Collaborative networks on the agroecological proposal, linked to universities and other research and development organizations to support and validate the proposal;</li> <li>(3) Training networks for other social actors external to LVC.</li> </ol>
Via MOCASE	Campesina -	<p>Empower of the farmers:</p> <p>MOCASE-LVC seeks to empower farmers through political formation. This involves a new paradigm that is contrary to the logic of capitalist production and development. It is based in agro-ecology.</p> <p>Disempower of the landowners:</p> <p>MOCASE-LVC's fight is not only for the property of the land but for social change that allows the construction of an egalitarian society. Therefore, the farmer's empowerment implies the disempowerment of landowners and offers a glimpse of the possibility of a change in the way we produce and understand the bond and attachment to the land.</p>
Via MAGOSZ	Campesina -	<p>Intellectuals, however have been traditionally playing a leading and inducing role in rural movements. Academics, lawyers, qualified legal experts have been collaborating with smallholders to collect and interpret necessary information about issues hindering farmers</p>

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	<p>in producing, processing and selling their products. In the EU-accession process and after the entrance, special effort in law harmonization was taken by intellectuals who identified the strategic importance of building up a more supporting legal framework for farmers. In this work (as e.g. process of developing the new Smallholder Decree) the collection and adaptation of good practices from other countries were of great help. Based on the information collected, civil society organizations asked for the help of lawyers in introducing their suggestions and argumentations for consideration of political decision makers</p>
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**Table 3 – Internal governance**

Network / Local manifestation	Internal governance
<b>BATCH 1</b>	
Impact Hub	Network provides entrepreneurs with transnational connections in order to empower the single social entrepreneur
IH NL (Amsterdam+Rotterdam)	Differences in local internal structures Enabling local, individual social entrepreneurs' activities by providing space, possibilities for mutual learning and access to global pool of people
IH Sao Paolo (Brazil)	NL/AMS + BRAS: practicing 'holocracy' as organisational model with authority and decision-making distributed throughout a number of self-organizing teams
Ashoka	Selecting and supporting social entrepreneurs Programmes for fertilising and upscaling local ideas of entrepreneurs Some central decision-making, but mainly decentralised decision-making
Ashoka Hungary	Innovative practices developed locally
Ashoka Germany	Local staff members usually also have international tasks
Time Banks	Legal organisational form as cooperative; internal regulation to maintain integrity and coherence with time banking values
Time Banking UK Fair shares	charity + registered company + cooperative
Health & Family Spain	NGO
Credit Unions	Demand for local ethical evaluation committees; demand for participation of volunteers in decision-making Internal Governance in FEBEA and FIARE based on principles of 1)transparency; 2) equality: "1 person, 1 vote", 3) democratic election of board members.
Norwich Credit Union	Find ethical assessment unnecessary
FIARE Spain	UK + SP: Participation of volunteers difficult to obtain; slowing down decision-making Grass-roots organization (territorialized) based on high qualified (and motivated) volunteering work.
RIPESS	No formal rules. Informal allegiance towards broadly defined ideology social and solidarity economy
VOSEC Belgium	Federation of federations
CRIES Romania	NGO
FabLabs	MIT Fab Charter as requirement for local FabLabs; openness to broad variety of activities Fab Foundation important entity, but not controlling the local FabLabs
Amersfoort FabLab NL	Developed own low-budget Fab Lab stressing independence. Mix of collaborative and individual activities
Fab Lab Argentina	Trustworthy relations enable and allow individual decision-making of the members
Hackerspaces	Informal networking without rules
Build Brighton UK	Informal and non-hierarchical relations challenge to some active in Hacker Spaces Growing size implied need for more formal organisation with board of directors
Hacklab Argentina Barracas	Local manifest, but no formal hierarchy. Adhocracy. Some members create own businesses
Living Knowledge Network	No formal demands for network members Network is not a legal entity which in some cases have reduced funding possibilities Self-organised formation of EU project consortia based on interest, trust and geographical variety Participation in international network empower some new initiatives
Science Shop DTU Denmark	Scientific relevance of projects assessed on the basis of university criteria. Social relevance assessed in dialogue with civil society group expressing knowledge need Hierarchical university structures disempowering Disagreement about the role of civil society as primary target group dissolved Danish

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	science shop network
InterMEDIU Romania	
DESIS network	High level of autonomy to local DESIS Labs Endorsement of new design practices Name and logo as trade mark preventing unknown Labs from using it.
POLIMI DESIS Italy	Empowering to be part of the international DESIS network. Distributed management giving direction but not focus
NAS Design Brazil	Hierarchical university structures govern division of activities
Global Ecovillage Network	Communal self-empowerment as recent main membership criteria Consensus decision-making is slowly evolving in sociocracy and other forms; rules to balance weight of voices between being affected and carrying responsibility among the diversity of ecovillages Autonomous working groups with own decision-making procedures Has 2013 become legal entity to be able to receive national and international funding and charge membership fees
Tamera Portugal	Communal ownership and decision making. Decisions outsourced to working groups to avoid vetoes blocking activities; are autonomous in their decisions, balancing trust and control by the village plenary and the coordination circle.
Schloss Tempelhof Germany	Multi-level membership structure. Local 'government' and core group Foundation, Association and cooperative as bodies for collective ownership. Plenary and working groups Experimentation with coordination circle.
Transition Network	Transition Network provides Inspirational leadership. It also pollicises the boundaries of what 'transition' is; allowing flexibility in how the focus on transition is defined whilst retaining a core set of values and principles. Decision making controlled by Transition Network but efforts to ensure that it is participatory and devolved where possible, Power slowly shifting to national hubs who are taking a greater role in the movement.  In both local initiatives inspirational leadership is important, despite the commitment to a collective form of community leadership. Strong place-based notion of community, but support from the whole community difficult
Transition Totnes UK	Complex governance involving board of trustees, 'core group' and paid staff sustaining initiative. Strategic decision making a little messy but a commitment to participation and devolution of power were practical. Well-being more locally inclusive than environmental concerns
Transition Hungary	Initiative grew out of its original organisational context where there was a tension between the need for formalised legal structure for fund raising and grassroots organising ethos. Initiative has become a 'doughnut' without a co-ordinating core group.
INFORSE	Governed by group of elected regional (continental) coordinators and bottom-up decision-making No formal demands for members Member organisations the only that can start activities
VE Denmark	Has created different organisational forms due to funding possibilities: both voluntary activities and not-for-profit consultancy
APERé Belgium	Governed by general assembly and board with members and employees
<b>BATCH 2</b>	
Basic Income Earth Network	Executive committee for daily decision making General Assembly for larger decisions (statutes, location of congresses) Importance of editorial team for online publication Formal registration as legal entity will follow
Basic Income Germany	Exclusive group to maintain vigor (MIES) Member-based association (VBI)



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Basic Income Netherlands	Membership based organisation (individual and organisational members) Executive body is the elected board (Netzwerkrat): Strategic, managerial, financial and planning decisions and coordination of inter/national activities Working groups; Regional and local groups Academic Advisory Board Exclusive group to maintain vigor (MIES) Member-based association (VBI)
Co-housing Network	Cooperative organization governed from different levels of assemblies representing member interests Elected Board (9 members) takes key-decisions, four years
Co-housing Argentina	Elected Board of Directors (formalized by statutes) Representatives
Co-housing Freiburg	District association today. In the planning phase there was the initiative Forum Vauban formed by different co-housing groups and private house builders.
Enoll Network	Governed by (elected?) Council, takes care of financial and programmatic work plan and implementation General assembly discussed and accords the yearly planning by the Council Activities are implemented through Work Groups, Special Interest Groups and Task forces.
Enoll Eindhoven	
Enoll Manchester	Project-based decision making Executive Board, Employed staff
Participatory Budgeting IOPD network	Membership structure (associate member for governments, collaborating member for civil society) Annual conference Organisation structure of presidency (one year), technical secretariat (3 years), coordinating committee. Chosen based on consensus by associate members
Participatory Budgeting Porto Alegre	Local government responsible for organizing participation process Institutionalised relationship has developed between the communities' and government representatives
Participatory Budgeting Amsterdam	BM: NGO CBB organizes the processes (provides trainers, invites citizens and government representatives) NBI: District municipality organizing the project as collaboration of different departments Blurring boundaries between community and government stream
Seed Exchange network	Typically self-governing and community based Also: Connecting to/through global network; volunteers
Seed Exchange Hungary	Organising committee relying on a network of volunteers
Seed Exchange Brighton	Network of like-minded people Self-governing, holistics and community based Content driven approach
Shareable – network	Community groups (either formalized or informal)
Shareable – 1 NIJMEGEN	Coordination group of volunteers Informal coordination
Shareable – 2 GIJON	Democratic, participatory decision-making processes that are open to every community-member organized along territorial and sectorial boundaries Sharing Gijon is made up of non-profit associations and cooperatives
Slow Food – network	Decentralized formal coordination structure of International council (defining political and development strategies), executive committee, convivia International council and executive committee elected every four years Lead for political and development strategies

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	<p>Convivia have (high rate of) autonomy in decision making</p> <p>Internal governance principles: distributed, collective leadership, conviviality</p> <p>Two paid members, others non paid</p> <p>Non-profit organisation but have for profit structure for income generation (e.g. publishing house)</p>
Slow Food Spain	<p>Formal/traditional vertical structure (regulated by statutes)</p> <p>Elected board committee (six members) and president</p> <p>Yearly assembly meetings (formal agreement, approval of budgeting, main activities)</p> <p>SI= Autonomous decision making; Sense of belonging/group cohesion; Award to one/two members for dedication or outstanding dedication</p>
Slow Food Freiburg	<p>Structured organisation of 10 departments each led by a manager</p> <p>Bi-annual meetings of all SF convivial in Germany</p> <p>Elected national board at annual membership assembly</p> <p>Peer-control budgeting/member control on budgeting</p>
Via Campesina Network	<p>Geographically organized decentralized coordination structure (local – national – 9 regions – international)</p> <p>Elected representatives of each region part of international coordinating committee</p> <p>Rotating internal committee decided at internal conference</p> <p>Issue-based working commissions</p> <p>Membership structure</p>
Via Campesina - MOCASE	<p>Loose network</p> <p>Regional offices support in funding and in regulatory questions</p>
Via Campesina - MAGOSZ	<p>Horizontal structure with collective (regional) coordination through different secretariats.</p> <p>Organized in assemblies in which 12 peasant unions partake, who represent peasants</p> <p>For each union working groups on youth, communication and training, production and marketing, land, environment and human rights, and health</p> <p>Three-monthly meetings focusing on distributing tasks and coordinating actions at national level with other organisations</p>

**Table 4 – External governance**

Network / Local manifestation	External governance
<b>BATCH I</b>	
Impact Hub	<p>Interaction with other organisations about funding opportunities and about development of these organisations' innovative capacity</p> <p>Close connections to organisations for entrepreneurship</p>
IH NL (Amsterdam+Rotterdam)	NL: Matchmaking between members and business partners. Cooperation with research institutes about impact and feasibility studies
IH Sao Paolo (Brazil)	
Ashoka	Several programmes and rich variety of relationships with external actors: universities, businesses, global and local civil society organisations, public decision makers
Ashoka Hungary	relationship with a handful of supporting organisations (business consultants, civil society organisations, universities)
Ashoka Germany	Spin-off organisations of the local initiative, dense relationship with businesses and business entrepreneurs

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Time Banks	EU, Charitable Foundations/Trusts, Local Authorities, Interest Organisations and some agencies of government providing funding for establishment of time banks and inter-/transnational networking among time banking organisations
Time Banking UK Fair shares	engagement of the social innovation with regulatory and fiscal authorities to create recognition for time banking as having a special status, giving exemptions (fiscal and welfare 'disregards') for time banks and their members). These provide protections for time banks operating on 'purist' terms, but also potentially constrain innovation.
Health & Family Spain	Less strict regulation
Credit Unions	Stricter public regulation of banks due to economic problems in both big and small 'traditional' banks have developed into dis-empowering barriers for the credit unions, despite they have gained increasing interest due to dissolution of 'established' banks societal credibility
Norwich Credit Union	Public funding; disagreement about whether it is empowering or deteriorating the ethos of credit unions Weak local cooperation disempowers
FIARE Spain	Conditions of credit unions worsened because of increased demands to banks and a wish to reduce the number of banks
RIPESS	European network seeks to influence policies. Successful in attracting attention of UN organisation
VOSEC Belgium	Sector platform that has –with over time diminishing success – represented the various Flemish Social Economy initiatives in the shaping of Social Economy policy.
CRIES Romania	Strongly concerned with the inclusion of marginalized groups in political life.
FabLabs	Different actors in the network interact with different external stakeholders. Some focus on Silicon Valley entrepreneurialism; some focus on commons-based peer production and sustainability. Increasingly part of technology and education politics. External pressure for becoming more structured and organised
Amersfoort FabLab NL	Interest from other FabLabs in their grassroots approach. A variety of initiatives have been undertaken with local groups, including a council and a transition initiative.
Fab Lab Argentina	Fab Lab seen as way of attracting young people to architecture
Hackerspaces	Strong commitment to self-organised spaces means external governance is minimal.
Build Brighton UK	
Hacklab Barracas Argentina	Some members started selling software, hoping to be able to quit their present jobs Software cooperatives emerged from software movement
Living Knowledge Network	Dialogue with EU Commission officers enabled development of EU funding opportunities for community-based research and civil society organisations as participants in EU projects
Science Shop DTU Denmark	Empowerment through credibility from university affiliation
InterMEDIU Romania	Seen by environmental NGOs as competitors in relation to application to national funds
DESI network	The external governance is mostly promoted by the local groups. However, the international core of DESIS Network has formal agreements with Social Innovation Exchange (SIX), Sustainable Everyday Project (SEP), Learning Network on Sustainability (LeNS), Partnership for Education and Research about Responsible Living (PERL) and International Association of Universities and Colleges of Design, Art and Media (CUMULUS).
POLIMI DESIS Italy	Difficult to make formal agreements with external actors, due to the disruptive focus of the projects
NAS Design Brazil	Partners not interested in international connections. Formal agreements with external partners; especially from the public sector
Global Ecovillage Network	Consultative status with UN's ECOSOC since 1997 Especially related to the possibilities of buying land and getting permissions for construction of new buildings or for use of buildings.
Tamera Portugal	Conflict with authorities about 'home schooling' and about expansion of the limit for

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	construction of new houses
Schloss Tempelhof Germany	Negotiations about permission for setting up own school, café and other businesses, planning permissions e.g. for the experimental building of an 'earthship', build in 2015.
Transition Network	Seeks partnerships around specific activities Relations with other sustainability movements and organisations Mainly discursive impacts from spread of the Transition Initiative model
Transition Totnes UK	Developed relationships with three levels of local government. As charity need for annual report showing commitment to original charitable goals
Transition Hungary Wekerle	Societal dynamics not in favour of local grassroots initiatives
INFORSE	Hearings and lobbying in relation to EU-policy development
VE Denmark	The mainstreaming of renewable energy as an important part of the national energy strategy has been empowering. Changes in funding possibilities have had big impact on level and focus of activities. Recent increasing local municipal government interest in energy savings have been empowering
APERé Belgium	Empowered as part of regional governments' increasing focus on renewable energy planning.
<b>BATCH t2</b>	
Basic Income Earth Network	Multiple external governance arrangements Formal registration as organisation to become eligible for funding and donations
Basic Income Germany	GER: External governance arrangements in terms of political processes, instruments as well as fiscal, labour and employment policies Membership and/or connections with other groups, networks or movements
Basic Income Netherlands	National social security arrangements. Local governments starting experimentation
Co-housing Network	Formal ties with housing institutions in countries with member associations Co-operation with regional and international bodies  Importance of legal frameworks with regard to housing construction and management practices
Co-housing Argentina	Member of Argentinian branch of ICA Coordination with other institutions at national, regional and global levels
Co-housing Freiburg	City district of Freiburg with self-organized internal governance City working group charged with planning the district includes city council, city administration, representative citizen (from Forum Vauban) Advisory board: in contact with city Dialogue platform Privately organized building groups GENOVA cooperative with 384 members is the largest housing cooperative in Vauban Information exchange with city administration, eco-tourists, research institutes, other citizen initiatives, Networking with other places: e.g. city partnership, rural village Networking by topical working groups
Enoll Network	Strategic partnerships and alliances with (inter)national organisations and institutions (e.g. World Bank, FAO, France Network of Living Labs) Collaborative linkage with organisations with complementary mandate, formalized through Memorandums of Understanding.
Enoll Eindhoven	Local government plays a big role
Enoll Manchester	ENoLL as external actor and its governance codes
Participatory Budgeting IOPD network	Networking with other international organisations Alliances with academic world

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Participatory Budgeting Porto Alegre	Shared organization between the city hall and community representatives causes fuzzy boundaries between internal/external governance SI= Citizens deliberation on local budget transforms the relationship between traditional government and citizens
Participatory Budgeting Amsterdam	Municipality of Amsterdam and district municipalities Ministry of Internal Affairs
Seed Exchange – network	Paradox in governance approaches (e.g. formal policy orientation or informal community engagement) between different networks Alliances with researchers
Seed Exchange – Hungary	Formal (EU) laws Strategic partnerships (e.g. connecting informal and underground to institutionalized, market oriented, political initiatives)
Seed Exchange – Brighton	Formal regulations on public events (e.g. laws and regulations)
Shareable – network	Distancing from dominant institutions, striving for creation of cooperative business
Shareable – 1 NIJMEGEN	Local government: SCN advices on participatory processes Rules concerning free competition
Shareable – 2 GIJON	Collaboration and support or ceasing thereof between initiatives and local administration
Slow Food – network	Creating network of regional and local organizations Collaboration with national government, governmental bodies, universities, schools, associations, NGO's Strategic alliances (private, public, civil society) Aims: obtaining financial support, developing projects, gaining political influence Global alliances (UN) Creating similar organisations for support and to widen circle of influence
Slow Food Spain	Strategic alliance with diverse local actors (community, producers, restaurants) Formal agreements with public administrations Horizontal partnerships with local NGO's and foundations to give food systems an impulse for change
Slow Food Freiburg	Interaction with small businesses (can become members on invitation) No proactive political approach National office does campaigning Networking approach based on personal contacts/social cohesion Small scale events and presentation at annual food consumption fair Also linkages with: teacher associations, school ministry SI= Creating new frames and institutions to exchange philosophy and connect across social strata: age, private and public, high end and low cost events Reframing borders between consumption and production
Via Campesina Network	Horizontal network building (like minded) Contacts with international policy making: either through uptake of demands (FAO); collaboration with those in favour (UN) or in competition with those shielding dominant practices/having competing worldviews (IMF, World Bank)
Via Campesina - MOCASE	Network building with social movements at national, regional and transnational level (e.g. driving rise of National Indigenous Peasant Movement Argentina) Ties with development NGO's (for legal, technical assistance) National Policy making (rural extension agencies)
Via Campesina - MAGOSZ	Intellectuals (supportive) Decision makers (on demand)

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**Table 5 – Social learning**

Network / Local manifestation	Social Learning
<b>BATCH I</b>	
Impact Hub	<p>Celebration and sharing of failures</p> <p>Learning seen as main mechanism of empowering individuals, including incidental learning</p> <p><i>Channels for learning:</i></p> <p>Physical space: shared working space</p> <p>Virtual space: mainly within local Hub</p> <p>Learning programmes</p> <p>Activities: shared lunch</p> <p>Media: Sharing of stories through website</p>
IH NL (Amsterdam+Rotterdam)	
IH Sao Paolo (Brazil)	
Ashoka	<p>Internal learning about change and social entrepreneurship both among fellows and staff members</p> <p>Learning from business practices and efficiency</p> <p>Now formalised programmes to teach society about entrepreneurship: public events, competitions, schools, mavens (media)</p>
Ashoka Hungary	<p>Learning business and communication skills, reporting and fundraising methods</p> <p>Public events on social entrepreneurship</p>
Ashoka Germany	<p>Learning how to cooperate with businesses</p> <p>Strong media presence</p>
Time Banks	<p>Diffusing software for time banking</p> <p>Common ICT platform and monitoring enable identification of success factors which are important for mutual learning and for dialogue with funders</p> <p>Social learning about own capacities and about their community among participants in time banking</p>
Time Banking UK Fair shares	
Health & Family Spain	<p>Organizing meetings and events for learning, knowledge sharing, interchange of experiences and gaining trust between members and within the network. H&amp;F have developed some dissemination materials to support timebanking (H&amp;F was the pioneer TB in Spain). H&amp;F developed a methodology (“how-to”) to constitute TB initiatives.</p>
Credit Unions	<p>Learning in FEBEA: 1) mentoring; network offers technical assistance for the creation of new credit union.</p> <p>2) FEBECA becomes a common space for learning and innovation: sharing experiences and best practices about ethical and alternative finances, social and solidarity economy.</p>
Norwich Credit Union	<p>Volunteers learn about economic and financial issues</p> <p>Professionalization of banking operations through training</p>
FIARE Spain	<p>Learning process in international and national context. Knowledge sharing reshaped the structure/activity of local initiative. Training provides specific (financial) knowledge and skills to volunteers.</p>
RIPESS	<p>Sees itself as knowledge hub on social solidarity economy: mainly website as learning channel, also congresses and meetings</p>
VOSEC Belgium	<p>Internal reflections and external advocacy about the development of the area</p> <p>Developed separate organisation for sector support, including website and networks</p>
CRIES Romania	<p>provide training; distribute materials about social solidarity economic processes</p>

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FabLabs	Fab Academy course. Alumni networks. Fab Foundation support for creating new FabLabs Patchy documentation of projects Some focus on tacit knowledge Limited focus on contribution to community development and social development
Amersfoort FabLab NL	Sharing of experiences through peer lab course for community and other Fab Labs Internal learning mainly about how to keep the Fab Lab running. Empowerment through autodidactic learning. Encouraging the sharing of design the users make
Fab Lab Argentina	Learning from Fab Academy to run a Fab Lab
Hackerspaces	Self-directed in hands on project – this personal learning is shared with others.
Build Brighton UK	Space for self-development of skills. Unstructured learning challenge to some members
Hacklab Barracas Argentina	Space for self-development of skills. Unstructured learning challenge to some members
Living Knowledge Network	Training and mentoring of new science shops by 'old' science shops Toolbox on website Electronic newsletter Network provides local opportunities for learning from global grassroots experiences
Science Shop DTU Denmark	Internal: Evaluation of science shop projects; External: science shop projects aim at capacity building among users and students
InterMEDIU Romania	Providing environmental learning opportunities for school children; enhancing local municipalities' competences.
DESI network	Promotes new ways of learning: real experimentation; working outside the university classroom Clusters and showcases developed for knowledge exchange
POLIMI DESIS Italy	Learning-by-doing through community-based design
NAS Design Brazil	Learning-by-doing through community-based design. Laboratory as learning space. Limited interaction with network
Global Ecovillage Network	International programme in design of ecovillages takes place in several ecovillages around the world. Bigger ecovillages run seminar centres and run courses based on own development
Tamera Portugal	Run many schools and campuses. See the village as a future laboratory
Schloss Tempelhof Germany	Internal learning processes about sufficiency new WE- culture, personal growth and intergenerational community building. Run seminar center on these topics. Space to learn and try new professions in relaxed contexts. Developed own children school. Annual evaluation meeting.
Transition Network	Network coordinators see the network as a learning community. Experiential learning Website with blogs and updates Learning among projects
Transition Totnes UK	Mainly informal and unstructured learning. Periodic self-evaluation days
Transition Wekerle Hungary	Encouraging social learning through networks and physical space
INFORSE	Learning through seminars and workshops. Earlier strong focus on Eastern Europe North-South learning Network as pool of knowledge which one can engage with
VE Denmark	Platform for informal learning processes Public enlightenment, local meetings, house visits Websites and newsletters
APERé Belgium	Appreciated because of its capacity to identify and disseminate 'good practices' Provide learning through participation in working groups and projects



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<b>BATCH 2</b>	
Basic Income Network	Multiple external governance arrangements Formal registration as organisation to become eligible for funding and donations
Basic Income Germany	National social security arrangements. Local governments starting experimentation
Basic Income Netherlands	External governance arrangements in terms of political processes, instruments as well as fiscal, labour and employment policies Membership and/or connections with other groups, networks or movements
Co-housing Network	Formal ties with housing institutions in countries with member associations Co-operation with regional and international bodies  Importance of legal frameworks with regard to housing construction and management practices
Co-housing Argentina	Member of Argentinian branch of ICA Coordination with other institutions at national, regional and global levels
Co-housing Freiburg	Information exchange with city administration, eco-tourists, research institutes, other citizen initiatives, Networking with other places: e.g. city partnership, rural village Networking by topical working groups City district of Freiburg with self-organized internal governance City working group charged with planning the district includes city council, city administration, representative citizen (from Forum Vauban) Advisory board: in contact with city Dialogue platform Privately organized building groups
Enoll Network	Strategic partnerships and alliances with (inter)national organisations and institutions (e.g. World Bank, FAO, France Network of Living Labs) Collaborative linkage with organisations with complementary mandate, formalized through Memorandums of Understanding.
Enoll Eindhoven	Local government plays a big role
Enoll Manchester	ENoLL as external actor and its governance codes
Participatory Budgeting ODP	Networking with other international organisations Alliances with academic world
Participatory Budgeting Porto Alegre	Shared organization between the city hall and community representatives causes fuzzy boundaries between internal/external governance SI= Citizens deliberation on local budget transforms the relationship between traditional government and citizens
Participatory Budgeting Amsterdam	Municipality of Amsterdam and district municipalities Ministry of Internal Affairs
Seed Exchange – network	Paradox in governance approaches (e.g. formal policy orientation or informal community engagement) between different networks Alliances with researchers
Seed Exchange – Hungary	Formal regulations on public events (e.g. laws and regulations)
Seed Exchange – Brighton	Formal (EU) laws Strategic partnerships (e.g. connecting informal and underground to institutionalized, market oriented, political initiatives)
Shareable – network	Distancing from dominant institutions, striving for creation of cooperative business
Shareable – 1 NIJMEGEN	Local government: SCN advices on participatory processes Rules concerning free competition
Shareable – 2 GIJON	Collaboration and support or ceasing thereof between initiatives and local administration
Slow Food – network	SF enables social learning spaces in networking events. The most relevant is Terra Madre, that organises “Earth Workshops” to analyse and discuss key factors in questions linked to food,



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	<p>sustainable production and the defense of biodiversity. Of course, global and regional events are also insightful informal learning spaces to interaction, interchange and community building.</p> <p>SF has “standardised” a methodology to set up local initiatives which seems to be essential to the stabilization of TSI (SF)</p> <p>Enormous material has been published by SF and its leaders (books, documents, political positions, annual reports, newspapers, website)</p> <p>SF has founded the University of Gastronomic Sciences (Bra, Italy) which offers a holistic comprehensive approach to food studies.</p>
Slow Food Spain	<p>Theoretical knowledge about the food system and how to introduce changes and propose alternatives in the local context. SF’s activists develop <u>abilities and skills</u> to educate and communicating better their message</p> <p>Participating in SF’s networking activities (Terra Madre &amp; Salone del Gusto).</p>
Slow Food Freiburg	<p>Interaction with small businesses (can become members on invitation)</p> <p>No proactive political approach</p> <p>National office does campaigning</p> <p>Networking approach based on personal contacts/social cohesion</p> <p>Small scale events combining learning and eating</p> <p>Also linkages with: teacher associations, school ministry</p> <p>SI= Creating new frames and institutions to exchange philosophy and connect across social strata: age, private and public, high end and low cost events</p> <p>Reframing borders between consumption and production</p>
Via Campesina Network	<p>Horizontal network building (like minded)</p> <p>Contacts with international policy making: either through uptake of demands (FAO); collaboration with those in favour (UN) or in competition with those shielding dominant practices/having competing worldviews (IMF, World Bank)</p>
Via Campesina - MAGOSZ	<p>Intellectuals (supportive)</p> <p>Decision makers (on demand)</p>
Via Campesina - MOCASE	<p>Network building with social movements at national, regional and transnational level (e.g. driving rise of National Indigenous Peasant Movement Argentina)</p> <p>Ties with development NGO’s (for legal, technical assistance)</p> <p>National Policy making (rural extension agencies)</p>

**Table 6 – Resourcing**

Network / Local manifestation	Resourcing
<b>BATCH 1</b>	
Impact Hub	<p>In general struggle to find stable business models.</p> <p>Income through fee from local Hubs and through paid services they provide for local Hubs</p> <p>Joint model: income from membership fees, renting out rooms and organising events</p>
IH NL (Amsterdam+Rotterdam)	<p>NL/AMS: exchanging rent for services; time based rent</p> <p>NL/RDM: local currency; part-time renting out facilities</p>
IH Sao Paolo (Brazil)	<p>Members with and without access to rooms. Hub School; consulting projects for others about creating co-working spaces; sponsoring for providing ideas for projects in poor neighbourhoods</p>
Ashoka	<p>Econ: funding by organisations, individuals and from businesses</p> <p>Centers of network maybe placed in countries with economy to enable big number of memberships</p> <p>Global consultancy company providing national support globally</p> <p>Joint: Pro bono provision of resources for fellows, offices and projects</p> <p>Executives providing business advice for fellows. Experts volunteers in Globalizer program, cooperation with schools, colleges and universities</p>

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Ashoka Hungary	No individual donors
Ashoka Germany	Big number of individual donors
Time Banks	Time Bank participants provide labour and skills. Reciprocity with like-minded organisations and with partners, such as universities and research groups. Some funding from local authorities, foundations, government agencies, etc. Joint: Key resource: participants and volunteers making the system run Some temporal paid staff based on external funding
Time Banking UK Fair shares	National network promote time banking. Brokers and software crucial resources. Balance necessary
Health & Family Spain	Public institutions fund Health& Family time banking activity
Credit Unions	Tendency towards upscaling towards more solvent credit unions Hum: a lot of volunteering; might be slowing down upscaling FEBEA activities are -in part- funded by European Investment Fund and the World Bank Tendency is to obtain funds from public institutions and EU projects
Norwich Credit Union	Joint: SP & UK: Resources come from saving and loan activity and from shares bought by members. There is no distribution of benefits between shareholders)
FIARE Spain	Resources come from saving and loan activity and from shares bought by members There is no distribution of benefits between shareholders
RIPESS	Econ: Funding difficult Hum: Voluntary activities
VOSEC Belgium	Funding/policy framework from regional government
CRIS Romania	NGO project activities. No structural funding
FabLabs	Most labs established through external funding: agency or institutional affiliation Business models developing: - Income through payment for use of lab space - Education - Support start of other lab's - Incubator - Network for innovation - Tourist attraction - External consultants
Amersfoort FabLab NL	A lot of work from applying for funding. Funding itself creates more work. Changed to autonomous model Fab Lab created from group of friends and networks Users pay to use the Fab Lab or do some work like sharing their learning or do repair work on the building to earn the money back.
Fab Lab Argentina	Funding for machines. Rent space free in exchange for running courses
Hackerspaces	Membership fees.
Build Brighton UK	Members plus some income from running events
Hacklab Barracas Argentina	Hum: Enthusiasm and commitment of volunteers Self-financing as source of pride Sponsorship of events creates debates
Living Knowledge Network	Hum: Network as mediator among local experiences. Projects as platform for training and mentoring of new science shops Artefacts: Website as repository with toolbox and reports Econ: Strong dependency on projects. EU funding of projects for 15 years Science shops outside university often have econ difficulties
Science Shop DTU Denmark	Econ: Basis funding from university for mediation and evaluation. Access to students and researchers as supervisors of projects
InterMEDIU Romania	Developed through Dutch foreign aid funding No basic funding. Depending on project funding. Access to students and researchers as supervisors of projects

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DESIS network	<p>Artefacts: international credibility from name and logo</p> <p>Hum: local researchers and students</p> <p>Econ: no need</p> <p>Network provides access to local resources in other DESIS Labs</p>
POLIMI DESIS Italy	<p>Provide “partners” with international recognition</p> <p>Econ: public and private funding for projects</p> <p>Hum: University researchers and students</p>
NAS Design Brazil	
Global Ecovillage Network	<p>Econ: initial funding from Danish business couple through foundation</p> <p>Recently exchange Funded projects with EU and a Germany ministry. platform for non-monetary exchange of services among ecovillages</p> <p>Hum: ecovillage members, social capital</p> <p>Joint: Larger ecovillages run enterprises where members are employed</p> <p>Social: committed relationships and communities</p>
Tamera Portugal	Econ: income from accommodation, books, training, donations, members’ external income
Schloss Tempelhof Germany	<p>Private investment of members; income of seminar house and village businesses; sharing money; gift economy; Hum: all kinds of voluntary neighbourhood support.</p> <p>Social: neighbourhood support, home care is planned</p>
Transition Network	<p>Artefacts: Website as repository with. recognisable ‘brand’.</p> <p>Access to likeminded activists through network</p> <p>Hum: Unpaid volunteers; project funding provide basic staff</p>
Transition Totnes UK	<p>Funding for some paid staff. Help from benefactor who enabled bid-writer who secured initial funding.</p> <p>Mainly volunteer based organisation</p> <p>Small amounts of funding raised from events</p> <p>Some projects secured separate grants and funding.</p> <p>Some projects (e.g. REconomy centre) adopted as gift economy model</p>
Transition Hungary	<p>Hum: Human capacities and networks. Especially young women with kids and ‘voluntarily’ unemployed</p> <p>Process management capacity important</p> <p>Econ: received funding creates problems with priorities and reporting</p>
INFORSE	<p>Hum: Network as mediator among local experiences.</p> <p>Artefacts: Website; energy vision development guidance material</p> <p>Econ: Strong dependency on projects</p>
VE Denmark	Depending on projects for funding. Limited income from energy consultancy activities and from membership fees
APERé Belgium	Econ: Stable funding from formal cooperation with energy sector and public authorities
<b>BATCH 2</b>	
Basic Income Network	<p>Technical equipment</p> <p>Facilities for meetings and congresses</p> <p>Money (membership fees)</p> <p>Volunteer work</p>
Basic Income Germany	<p>Knowledge (on political processes and instruments as well as fiscal, labour and employment policies)</p> <p>Human resources</p> <p>Technical equipment: ICT</p> <p>Financial resources: donations, project-based subsidies by the EU in the case of the national BIEN affiliate, crowdfunding in the case of a novel initiative (Mein Grundeinkommen)</p> <p>Financial resources: Crowd-funding</p> <p>Knowledge</p> <p>Human resources: Networking</p> <p>Technical possibilities: media, IT</p>

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Basic Netherlands	Income	Knowledge Human resources: Networking Technical possibilities: media, IT Financial resources: crowd-funding in the case of MIESKnowledge (on political processes and instruments as well as fiscal, labour and employment policies) Financial resources: donations, project-based subsidies by the EU, crowdfunding (Mein Grundeinkommen)
Co-housing Network		Financial resources: Member contributions, network (ICA) contributions
Co-housing Argentina		Financial resources: Self-financing strategy, contribution of partners of the cooperative, income through property
Co-housing Freiburg		For building the district: Financial resources: from citizens, City of Freiburg, Federal State of Germany (85 Mill. Euros), grants from foundation, from the EU etc. Human resources: Voluntary work, especially of experts in the planning process and renovation work in the district building GENOVA cooperative: Financial resources: membership shares, donations, renting out rooms
Enoll Network		Network and networking as main resource Knowledge development and brokerage Financial resources: membership fees, project funding NO subsidies
Enoll Eindhoven		Different resources from different partners are pulled together
Enoll Manchester		Financial resources: project-based grants
Participatory Budgeting OIDP		Financial resources: members (Municipalities) pay own costs to participate, no membership fees Looking for funding for governance structure; possibly crowdfunding for specific activities. Financial funding comes from one Municipality (Barcelona) to the technical secretariat; other resources comes from the Municipality in charge of the IOPD presidency in the current year. Looking for other sources of income for governance structure; possibly crowdfunding for specific activities.
Participatory Budgeting Porto Alegre		Shared governance approach Financial funding from government Human resources: Employees of local government, volunteering work by communities City hall facilities available for communities
Participatory Budgeting Amsterdam		Project-based funding from local government Subsidy from national government to spread method Funding from two civil society organization during first two iterations Human resources: Volunteering participants and trainers (small compensation) Information key resource to initiative Obtaining information not always easy
Seed Exchange network	-	Financial resourcing: Member ship fees, income from selling seeds, EU grants Facilities: use of home offices Knowledge: the knowledge about seeds and organizing seed exchanges
Seed Exchange Hungary	-	Human resources: Volunteering Financial resources: Fees (from events) EU and national funding from rural development sources Networking through EU exchange and capacity development programmes
Seed Exchange Brighton	-	Digital resources: ICT tools. Funding comes from entrance fees for the seed swapping event, plus fees organisations pay to have a table/presences at the event. Also, some sponsorship from a local wholefood food co-operative. Networking: connection with and support to similar organisations
Shareable – network		Digital resources: social network, mailing services,

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	Financial resources: sponsorship (regulated by a policy) Facilities: co-working space
Shareable – 1 NIJMEGEN	Human resources: Volunteers Digital resources: Internet as mediator, communication channel and community building
Shareable – 2 GIJON	Financial resources: donations Intellectual resources, i.e. knowledge: artistic knowledge, experiences, educational activities Digital resources: software, hardware, internet
Slow Food – network	Financial resourcing: Membership fees (divided between convivial and international headquarters); Creation of two (for-profit) companies: the Slow Food Promozione srl (mainly focused on the organization of major events, fundraising and advertising strategies); and the Slow Food Editore srl (which handles all publishing activity). Reinvest all income into the organization Project-based funding by EU/FAO, national governments (that finance specific projects in rural areas). Donations from private institutions Volunteers
Slow Food Spain	Funding through collaboration agreements with public and private entities Funding from province and regional banking institutions Occasional funding from government Membership fees Funding is necessary but not indispensable Human resources: volunteering
Slow Food Freiburg	Donations from members and supporters, also guests at events % of national membership fees when documenting expenses Project related donations Human resources: Volunteers, networking: Personal contacts
Via Campesina Network	Financ. Resources: donations, funding from peasants, companies, like-minded groups, philanthropy Ethical stance with regard to financial resources (no money from organizations with conflicting interest)
Via Campesina - MOCASE	Financial resources: Members are supported by regional offices in funding questions Membership fees
Via Campesina - MAGOSZ	Financial resources: fundraising through activities, selling products made by movement, and parties or activities in Buenos Aires Value of political and financial autonomy

## Table 7 – Monitoring and evaluation

Network / Local manifestation	Monitoring and evaluation
<b>BATCH 1</b>	
Impact Hub	Monitoring development of the network and the needs of the local Hubs. Global impact survey
IH NL (Amsterdam+Rotterdam)	Monitoring impact on Hub members and Hub members' impacts on society. Focus on social, economic and ecological impacts. Qualitative dissemination of stories behind impacts Mostly informal monitoring and evaluation

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IH Sao Paolo (Brazil)	
Ashoka	Regular monitoring of fellows and staff in order to reach maximum social impact. Fellows are surveyed in the 5 <sup>th</sup> year of the fellowship. A new complex Social Reporting Standard (SRS) is developed and required to be used by all fellows
Ashoka Hungary	5 of 35 fellows have already prepared SRS report, Local version of the standard is published
Ashoka Germany	SRS was initiated and tested here
Time Banks	Software enables central monitoring of effectiveness and of success factors and is important in dialogues with funders
Time Banking UK Fair shares	Joint: Case studies of impacts of individual time banks and some thematic studies of impacts on target sectors or groups, such as health, elderly, young, homeless, unemployed.
Health & Family Spain	
Credit Unions	Mandatory annual assessment of group of financial ratios FEBEA activity is monitored by an external Ethical Committee Social impact measurement method under development Social impact might become demands to all banks in EU and could imply societal transformation
Norwich Credit Union	Norwich CU use PEARL, the monitoring system provided by the British CU Network ABCUL. Oversight Ethical Committee is a legal requisite.
FIARE Spain	Mandatory annual assessment of group of financial ratios (audited or supervised by the Bank of Spain).
RIPESS	Monitoring the area of social solidarity economy Monitor the position of social solidarity economy in relation to other social innovation initiatives
VOSEC Belgium	Monitoring of social economy enterprises to justify public subsidies
CRIS Romania	Monitoring the area of social solidarity economy
FabLabs	Very little formal or systematic monitoring and evaluation.
Amersfoort FabLab NL	Some projects are documented in order to enable sharing and replication and adaptation in other places
Fab Lab Argentina	
Hackerspaces	Very little formal or systematic monitoring and evaluation.
Build Brighton UK	Some projects are documented in order to enable sharing and replication and adaptation in other places
Hacklab Barracas Argentina	
Living Knowledge Network	EU-funded projects with documentation of processes and societal impact from science shop projects. Some development of evaluation tools for societal impacts Demand for evaluation of EU-funded projects
Science Shop DTU Denmark	Scientific evaluation of science shop projects which are part of education Unsystematic follow-up with civil society groups about long-term impacts
InterMEDIU Romania	
DESES network	There is no formal monitoring and evaluation within DESIS Network. Some qualitative monitoring, e.g. of the level of proposals for cooperation to the network  Joint: Lack of formal monitoring and evaluation might disempower the local initiatives in relation to attracting external funding
POLIMI DESIS Italy	No formal monitoring
NAS Design Brazil	No formal monitoring
Global Ecovillage Network	Some monitoring and evaluation, but not systematic Evaluation often as part of research projects using ecovillages as case in relation to eco-technologies and permaculture
Tamera Portugal	Internal study groups, especially during autumn and winter
Schloss Tempelhof	Annual internal evaluation meeting; Internal-process including reflexions is seen as

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Germany	a constant evaluation process
Transition Network	Feedback from participants at courses Monitoring website usage Carrying out some surveys Feel need to gather and show evidence of impact of work. Therefore cooperation with university project about a monitoring and evaluation framework for low-carbon community groups Reports for grant funding received
Transition Totnes UK	Financial reporting mandatory due to legal status as charity Demands for monitoring of impacts in relation to specific project funding Informal processes of self-evaluation as element of learning. Planning further work on measuring impact.
Transition Wekerle Hungary	Internal reflections at core group meetings Monitoring and evaluation as part of Norwegian grant
INFORSE	No formal or systematic monitoring and evaluation.
VE Denmark	Increasing focus on evaluation of local project impacts due to funders' requests for projects in developing countries
APERÉ Belgium	
BATCH 2	
Basic Income Network	Monitoring related to events and developments related to BI Extensive media work as monitoring activity
Basic Income Germany	What: Internally focused/own impact: membership numbers; BI-initiative locations; website visits Externally: relevant societal, political and economic developments, media coverage What: Monitoring of generated attention (website visitors, press coverage) and of activities (meetings held)
Basic Income Netherlands	What: Monitoring of generated attention (website visitors, press coverage) and of activities (meetings held) What: Internally focused/own impact: membership numbers; BI-initiative locations; website visits Externally: relevant societal, political and economic developments, media coverage
Co-housing Network	Own and members impact with regard to providing secure, affordable housing worldwide Database on worldwide mutual-help and co-operative housing models and systems Membership surveys and possible adaptation of working methods
Co-housing Argentina	Monitoring and evaluation moments during meetings Continuous monitoring of the context (through reflection, research activities)
Co-housing Freiburg	What: regular district statistics, also including costs for living, quality of life Evaluation by research institute on ecological and economic effects Survey by Students
Enoll Network	No formal monitoring Yearly reflections and deliberations (as network during conference) Regular reflections and deliberations (in Council) On what? Reflective publications
Enoll Eindhoven	Input needed
Enoll Manchester	No formal monitoring
Participatory Budgeting IOPD	Annual conference proceedings "letter" from members report on context changes Monitoring through award (distinction of best practice)
Participatory Budgeting Porto Alegre	Yearly monitoring whether the outcomes of the processes have been implemented
Participatory Budgeting Amsterdam	Several formal evaluations focused on experiences and adapting the method External evaluation by University Evaluation as a tool for improvement
Seed Exchange – network	Monitoring of seed exchanges; changes in seed laws



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	Using online tools
Seed Exchange – Hungary	Tracking seed events Tracking legislation No monitoring activities
Seed Exchange – Brighton	Tracking seed events Tracking legislation
Shareable – network	Evaluation efforts are started focusing on success factors towards a city in which all institutions are democratic
Shareable – 1 NIJMEGEN	No monitoring
Shareable – 2 GIJON	Not mentioned
Slow Food – network	Social impact is measured: main activities and outcomes reported on in annual reports Evaluation is seen as time consuming but necessary
Slow Food Spain	Evaluation of impact through collaboration with university: research project to measure impact of food education project on younger population (focused on attitudinal change in students) in collaboration with university; SI=two way collaboration with university  Informal annual evaluation of results: (number of activities, participants, positive outcomes, improvements) Formal evaluation is required by public funders Informal assessment of economic impact: increasing incomes of slow food products (the ark of taste and presidia projects support local sustainable production (e.g. salines of Añana, Shepherd cheese, etc).
Slow Food Freiburg	Informal reflection of past events during board/member meetings
Via Campesina Network	No formal monitoring system or activities with regard to impact Online registration and documentation of activities and events worldwide
Via Campesina - MOCASE	Business-focused monitoring (e.g. agricultural prices)
Via Campesina - MAGOSZ	No formal monitoring Learning in interaction process: permanent and monitored teaching and learning scheme with collective evaluations Assemblies as reflection space for the state and progress of the movement



## Annex 3 Batch 1 and Batch2 cases and their social innovation fields and other research themes

**Table A3.1: Batch 1 and Batch 2 cases and the social innovation fields and research themes they could be seen as relating to**

Case no.	Transnational Networks under study in TRANSIT project	New economy	Sustainability and resilience	Transformative science and education	Inclusive society	Spaces for social innovation
1-1	The Impact Hub	X				X
1-2	Ashoka	X				
1-3	Time Banks	X			X	
1-4	Credit Unions	X			X	
1-5	RIPESS	X	X		X	
1-6	FabLabs			X		X
1-7	Hackerspaces			X		X
1-8	Living Knowledge Network	X	X	X		X
1-9	DESIS-network		X	X		X
1-10	Global Ecovillage Network	X	X	X	X	X
1-11	Transition Network	X	X	X	X	X
1-12	INFORSE	X	X	X		X
2-1	Slow Food		X	X		
2-2	Via Campesina		X	X	X	

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2-3	International Co-operative Alliance (Housing)	X	X	X	X	X
2-4	Int. Obs. for Part. Democracy	X			X	
2-5	Shareable Network	X	X		X	X
2-6	Living Labs			X		X
2-7	Basic Income	X			X	
2-8	Seed Movement	X	X		X	X
	<b>Number of cases</b>	<b>14</b>	<b>11</b>	<b>11</b>	<b>11</b>	<b>12</b>

## Annex 4 Overview TSI Propositions (D3.2)

The three groups of propositions developed in WP3 based on Batch 1 cases and the first theoretical integration workshop (Haxeltine, A. et al. (2015)).

### 1. How SIs emerge, move and expand (across time and space).

- 1.1. SI emerges from dissatisfaction/s with existing social relations and 'dominant' ways of doing, organizing, framing and knowing (why).
- 1.2. SI emerges as a reaction to 'tensions' in/with technological, economic, political and social conditions (why).
- 1.3. SI emerges in 'experimental spaces' where like-minded people gather (how, where, who).
- 1.4. SI emerges when actors are motivated to create new social relations (and new ways of doing, organizing, framing and knowing) more in line with their visions and values (why).
- 1.5. Actors continue to remain engaged only as long as a SI-initiative or network is perceived to be in line with their own vision and values.
- 1.6. SI-initiatives require a phase of inward-looking development with sufficient autonomy (from the social context) to develop a coherent vision (when, how).
- 1.7. SI emerges successfully amongst a group of people (in a SI-initiative) when they are able to dialectically 'transcend' (some) constraints (as existing institutional arrangements) of the social context within the 'experimental space' they create.
- 1.8. To persist, move and expand a SI-initiative/network requires 'spaces', 'resources', and 'tools' for empowerment.
- 1.9. To persist, move and expand a SI-initiative/network must develop and implement strategies that allow it to create and maintain spaces and mobilise resources.
- 1.10. To persist, move and expand, a SI-initiative needs to recruit actors (create social relations) from outside of its initial group, both as supporters to provide it with legitimacy and/or resources, and to access 'intermediaries' able to translate between SI and the social context (who, when).
- 1.11. The movement and expansion of SI is facilitated by processes of comparison and competition by actors (both SI-actors and 'intermediaries') operating between different contexts, regions and institutions.
- 1.12. As SI-initiatives move and expand (across time and space) they must engage in a 'dialectic relation' with *established* institutions, organizations and actors (who may be both receptive to the SI and/or have powers to change the framing conditions for the social innovation).
- 1.13. When SI interacts with established institutions it (inevitably) loses some of its autonomy.
- 1.14. SI-initiatives that succeed in expanding (across time and space) must develop strategies that enable the preservation of autonomy while also engaging with external actors and institutions, if they fail at this they may persist as viable 'organisations' but in a form that is captured by established arrangements (as dominant institutions and structures).

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## 2. How SI and transformative change interact

- 2.1. SI has a two-way relationship with 'transformative change' - SI can be explained as outcome of transformative change as well as a contribution to transformative change.
- 2.2. Transformative change requires SI; SI requires transformative change (how).
- 2.3. SI may be linked with transformative impacts both intentionally and/or unintentionally (a SI-initiative or network may play a role in the dynamics of transformative change processes, irrespective of whether or not it has a transformative ambition or vision).
- 2.4. SI has a dialectic relation with existing/established (/dominant) institutions and structures - they both challenge them and reproduce them.
- 2.5. For SI to have transformative impact, it must challenge, alter and replace established institutions across all institutional logics (i.e. market, state and civil society).
- 2.6. SI can be transformative at a personal level (but to link to transformative change in the social context there needs to be in place recursive relations of learning and influence between the inter-personal and the collective levels (and with processes of institutional change)).
- 2.7. For an SI-initiative/network to have a transformative impact, it needs to resolve its own, internal tensions with the social context (that arise from a 'lack of fit' between the innovation and existing arrangements).
- 2.8. For a SI-initiative/network to have a transformative impact it must maintain a sufficient integrity of its initial vision while also adapting its strategies/actions to the (changing) social context.
- 2.9. Many SI-initiatives start with 'local' ambitions but as they develop/expand they come to realise that in order to further promote the SI they need 'transformative' ambitions.
- 2.10. This represents an Achilles' heel moment which demands both a radical internal change and the creation of new relations with external actors and institutions.
- 2.11. For SI-initiatives/networks to have transformative impact, they need to 'play' (make advantageous) relationships with established, institutions and actors in ways consistent with their transformative ambitions. This may follow dispositions such as complying, irritating, avoiding, resisting, compromising, hijacking.
- 2.12. For a SI-initiative/network (with a transformative ambition) to have a transformative impact it needs to need to engage with and promote narratives-of-change that both justify the transformative ambition/s and inform practical strategies and actions.
- 2.13. SI-initiatives/networks (with transformative ambitions) can achieve transformative impacts by exploiting situations where intersecting or overlapping (or contested) institutions (in the social context) create opportunities for institutional change.
- 2.14. To be part of achieving a broad societal-wide transformative change, a SI-initiative/network must develop a strategy to challenge, alter and/or *replace multiple and inter-linked* clusters of established (dominant) institutions (in that social context).

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## 3. Agency in SI and transformative change.

- 3.1. SI-initiatives/networks can increase their agency (/transformative impact) by reshaping established social relations and institutions in ways that further enable the SI.
- 3.2. SI-initiatives/networks can increase their agency (/transformative impact) by developing a portfolio of *different* strategies for *different* aspects of the social context.
- 3.3. Networks and especially transnational networks enable SI-initiatives to gain access to specialized actors outside of their original constituency.
- 3.4. SI-initiatives/networks (with transformative ambitions) can increase their agency (/transformative impact) by interacting with other SI-initiatives/networks (forming 'clusters' and/or a 'field') to create alignments (around visions, strategies and actions).
- 3.5. TSI agency involves individual and collective TSI reflexivity (reflexivity about TSI).
- 3.6. Having theories of change that explicitly, and adequately, address TSI dynamics (how SI interacts with transformative change) increases a SI-initiatives transformative potential/s and transformative impact/s.
- 3.7. For SI-initiatives/networks to have transformative impact/s they need to update and adapt their theory-of-change based on learning about the effects of their strategies and actions on challenging, altering and/or replacing institutions in the social context.
- 3.8. The transformative ambitions of SI-initiatives/networks differ not only in the extent to which they aim to challenge (alter and/or replace) existing structures and institutions (in the social context) but also in terms of how 'radical' (how fundamentally different from present arrangements) are the institutional changes that they propose.
- 3.9. SI may be instrumentalised by powerful actors (for example, conservative parties using the social economy as a cushion for welfare state reforms) If so, there may be gains in resilience and status of the social economy but transformative potential is reduced.
- 3.10. [Social learning] Reflexive learning processes are necessary for a SI-initiative/network to persist (over time and space) and adapt successfully to a changing social context.
- 3.11. [Resourcing] A SI-initiative/network may create or gain access resource flows that have a degree of autonomy from dominant institutions, but to have a transformative impact (on the social context) it needs to mobilise resource flows in the social context.
- 3.12. [Governance] To achieve a transformative impact, a SI-initiative/network needs to adopt and adapt modes of governance that are BOTH effective (in terms of movement and expansion) AND consistent with (the values of) the SI.
- 3.13. [Governance] SI-initiatives/network must navigate existing governance arrangements in the social context, whether by playing into them (to achieve more support) or by ignoring or challenging them.
- 3.14. [Monitoring] Externally imposed monitoring and evaluation processes always result in a loss of autonomy for a SI-initiative; however, reflexive forms of monitoring and evaluation are also possible that take the form of an embedded activity that informs learning processes and ultimately enhances the agency of the SI-initiative.

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# **PART 2: Transversal analyses of transformative social innovation**

Edited by Julia Wittmayer, Bonno Pel, Julia Backhaus, Flor Avelino, Sarah Rach, Saskia Ruijsink,  
Paul Weaver, René Kemp

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## 1 Introduction to Transversal Analysis

TRANSIT aims at developing a middle-range theory of transformative social innovation which is not only grounded in literature but also grounded in case study work. To date, we have studied and analysed separately and comparatively 20 transnational social innovation networks and 40 of their local manifestations resulting in 20 case study reports, and two comparative analyses (D4.2 as well as the first part of D4.4). These cases have been analysed using sensitizing concepts and heuristics (see D3.1, D3.2), which they in turn helped to refine and develop into new theoretical constructs.

The first part of D4.4 focused on comparing the cases along different sensitizing concepts. This second part of D4.4 has a different underlying rationale. It consists of extended abstracts of 8 papers (see Table 1.1 below for an overview) which either focus on empirical phenomena surfacing in different cases (e.g. alternative economic arrangements), take a societal or methodological issue as starting point (e.g. inclusivity or research relations), address propositions from TRANSIT proto-theory (institutionalization dialectics, responses to crisis), build upon thematic clusters used for case selection (e.g. spaces for/of innovation, inclusive society, new economy, transformative science) or inductively develop specific sensitizing concepts further (e.g. narratives of change). These contributions thus explore aspects not necessarily forming part of the set of sensitizing concepts that guided empirical research. Each in different ways, these research foci are pertinent to TSI theory development, however, providing more solid grounding and more refined insight.

The eight contributions in this deliverable<sup>3</sup> are intended to inspire towards further cross-case analyses. The N=20 of rich case studies can be exploited pursuing many different dimensions and themes as they come up in the process of developing our middle-range theory on transformative social innovation.

This second part of D4.4 is divided into four sub-sections: after this introduction, we reflect on some key methodological choices made in the eight transversal papers (**section 2**). **Section 3** contains the extended abstracts or already published versions of the papers, including their publication strategy. In the final **section 4**, we draw out highlights for the further development of TSI-theory – both in relation to the propositions outlined in the last iteration of the theory (D3.2) as well as those relating to key theoretical categories, issues and the three overarching topics: emergence, interaction, agency of TSI. In **section 5**, we provide a list of literature resources on methodology. In appendix I, we provide an overview of the list of theoretical propositions from deliverable D3.2

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<sup>3</sup> These first eight contributions have been made possible through a contingency budget available to the lead institutes.

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*Table 1.1: Overview and status of transversal papers*

Paper lead	Short outline of the focus of the paper	Status of paper (March 2016)
ULB: Bonno Pel Internal governance <sup>4</sup>	This paper addresses the new organisational forms and new 'governmentalities' that SI initiatives can be seen to develop. It addresses the TRANSIT category of 'internal governance', in conjunction with the 'new organizing' dimension of the new social relations promoted through SI. Drawing on literature on 'social niches', it is compared what new organisational forms can be distinguished in our cases, which internal and external functions these forms are intended to serve, and how the forms have changed/have been adapted.	Accepted for IPA conference, 5-7 July 2016, (Hull, UK)
ULB: Bonno Pel External governance <sup>5</sup>	This paper addresses the institutionalization dynamics of SI. It addresses the TRANSIT category of 'external governance', and the challenging, altering, replacing and reproduction of dominant institutions that transformative SI initiatives do. Drawing on earlier TRANSIT governance work on capture phenomena, it is compared what specific institutions our cases seek to challenge, how they (dialectically) interact, and how these interactions have changed over time.	Submitted: IST conference (Wuppertal, GER)
ULB: Tom Bauler SI as Response to crisis	This paper addresses the TRANSIT category of 'game-changers' and the related propositions on the 'emergence of SI through crisis'. The paper engages with the 'adaptive cycle'/resilience framework of the Waterloo school, which has brought up a promising process perspective and relevant propositions on this topic. The paper aims to deploy the full N=20 of TRANSIT cases to test and elaborate some key propositions on the 'emergence through crisis'.	Submitted: IST conference (Wuppertal, GER)
DRIFT: Julia Wittmayer Research relations	This paper explores different approaches, attitudes and relations of researchers to the phenomena they study: the normative aspects underlying research design. We zoom in on the relation between the researcher and 'the researched' and how this relation is formed by the assumptions about what science is and how it should be performed. A theoretical review as well as empirical research on the challenges in the research interaction, are the basis for drawing lessons and formulating recommendations for researchers with regard to the research interaction as well as in drawing up research designs.	Presented: 6th Living Knowledge Network Conference: An Innovative Civil Society: Impact through Co-creation and Participation. 9-11 April 2014, Copenhagen, Denmark; 10th International Interpretive Policy Analysis Conference (IPA) 2015 Policies and their Publics: Discourses, Actors and Power. Lille, France; 11th International

<sup>4</sup> Or 'new governmentalities', see section 3.1

<sup>5</sup> Or 'institutionalization dialectics', see section 3.2



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		Conference of the European Society for Ecological Economics (ESEE), 3 July 2015, Leeds, UK
DRIFT: Wittmayer	Julia	This paper approaches the underlying theories about transformative change of social innovation actors as 'narratives of change', which reveal, amongst other, why the world has to change, who has the power to do so and how this can be done. A literature review supports this notion and helps assembling an analytical heuristic to reconstruct narratives of change concerning context, actors, plot, the production of narratives and their perceived role in social change processes. Following this framework and based on empirical work 'master-narratives' of three social innovation initiatives are constructed, namely Ashoka, the Global Ecovillage Network and RIPESS. Their comparison provides insights into the variety of such narratives, their importance and how they are part of and inspire SI practice.
Narratives of change		Presented at SCORAI/TRANSIT Workshop "Beyond Transitions" Vienna, Austria, November 17th, 2015; Pressure Cooker Workshop "Theories of change in sustainability transitions" University of A Coruna, 10-11th of September 2015 Published as TRANSIT Working Paper #4
DRIFT: Flor Avelino		There are numerous networks and local initiatives worldwide with the ambition to contribute to transformative change towards more sustainable, resilient and just societies. Many of these have a specific vision on the economy and relate to alternative visions of a 'New Economy' (e.g. 'Sharing Economy', 'Social Economy', 'Solidarity Economy'). Addressing these alternative forms from the perspective of 'transformative social innovation', this paper analyses 12 social innovation networks focusing on how these a) relate to narratives of change on the new economies, b) (re)build social relations enabling new economies and c) challenge institutional boundaries through ideas and practice.
New Economy		Presented at 6th International Sustainability Transitions (IST) Conference, Sustainability Transitions and Wider Transformative Change Historical Roots and Future Pathways, 25th – 28th August 2015, Brighton, UK Published as TRANSIT Working Paper #3
UM: Paul Weaver		This paper addresses how the concepts of inclusion and exclusion are understood and addressed by three different social innovations, how they are reflected in the SI narratives, theories and strategies of change, and how these compare and interrelate with each other and to established policies toward inclusion in dominant societal systems – the market economy, representative democracy, and state welfare.
Inclusive Societies		Submitted: SPRU conference September 2016
IHS: Saskia Ruijsink		This paper will address how Social Innovations with local and transnational dimensions relate to and develop within space, which is an important dimension of the social context that is a central concept in the TRANSIT project. The understanding of space is drawn from various disciplines within the 'urban literature'. It will theoretically and empirically explore the:
SI Space and Place		- Relationship between the emergence of social innovation and space which includes perspectives of (urban) social movements and the right to the city as addressed by authors including Moulaert et al.,  Presented in draft version at Social Innovation 2015: Pathways to Social Change. Research, policies and practices in European and Global perspectives, Vienna, Austria, November 18-19 2015.

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LeFebvre, Harvey and Castells.

- An understanding of the meaning of space for social innovations at different scale levels, looking at a) a networking dimension as is expressed in the term Space of Flows (Castells) and b) a local dimension as is expressed in the concept of Spaces of Place (Castells) and Placemaking (e.g. Healey, Whyte, Gehl)
  - It will then present an outline for an analysis of a number of empirical cases of social innovation that are drawn from the TRANSIT research in which space and place play a critical role.
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## 2 Methodology of Transversal Analysis

The TRANSIT transversal papers all rely on comparative case analysis approaches. They all capitalize on the availability of 20 more or less homogeneously developed case studies. Still, their moves beyond the single-case insight display different strategies and approaches. Especially as these 8 transversal analyses could in principle be followed by many other transversal analyses, it is worthwhile reflecting on a number of methodological choices, such as: *How are the comparative insights generated? On what –more or less comparable– data sets and materials are they based?* The answers to such questions are important in at least two ways: *How can TRANSIT observations, statements and associated practical recommendations be justified? What methodological lessons can be learnt for future research on TSI?*

In this chapter, we reflect on some key methodological choices and issues that shaped the eight WP4 transversal papers. They are all case-based, building on the rich insights from unique cases, but all papers are also deliberately set up as comparative case studies (Yin 2003) that seize the similarities and linkages between cases for the benefit of generic insights. They represent efforts towards theory building from cases (Eisenhardt & Graebner 2005). Some do this through targeted comparisons that confirm, refute or enrich theoretical propositions, whilst others are more explorative in approach. Another relevant distinction is that some are more oriented towards certain variables or analytical dimensions and others more towards accounts of process dynamics (Pentland 1999; Langley 1999; Pel et al. 2015). In the following, we provide overviews of some key methodological choices, and briefly reflect on them: Case selection (2.1), variation within selected set of cases (2.2), focal units of analysis (2.3), deployment of TRANSIT case study data (2.4), use of sensitizing concepts (2.5) and comparative strategy (2.6).

### 2.1 Case selection

All transversal papers can draw on 20 in-depth case studies. This does not mean that they all include the full 20 in the study, however. There are various pragmatic, theoretical and methodological reasons for working with only a subset of these 20 cases. Even if 20 is an impressive number of in-depth case studies, it is still remote from the quantity that allows for statistical inferences. The *amount* of cases included in the comparative analyses thus remains of lesser importance than the selection of cases. *Which cases were selected? Why were these cases selected? Why not more? Why not less? Why not others?* After an overview of the cases included in the various transversal papers, it is considered for what reasons they were selected and how (if at all) they are explicitly related to the broader set of 20 cases.

A first basic overview to consider is the cross-table (table 2.1) below, displaying which cases are deployed in which transversal papers. This brings out the different samples taken from the N=20. It shows in a nutshell how the transversal analyses differ widely in their approaches. On the one hand, there are the ‘research relations’, ‘narratives of change’, and ‘inclusive society’ papers that are set up as triple-case studies. On the other end of the spectrum there is the comprehensive N=20 analysis of ‘responses to crisis’, as an attempt towards larger-N testing of certain propositions. That one may appear to be a singular exception to the set-ups involving only a few focal cases, but it could be considered that the ‘new economy’, ‘SI and space’ and ‘internal governance’ are similarly broad in approach for their inclusion of about 11 or 12 case studies. Second, the overview shows the cases that are frequently deployed and the cases that have remained relatively under-utilized. There are no cases entirely left abandoned, it can be seen:

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Apart from the N=20 study on ‘responses to crises’, all cases are included in at least one other transversal study. Finally, the table also usefully visualizes to what extent transversal papers are drawing on overlapping sets of cases. The cases in the ‘narratives of change’ paper also appear in ‘internal governance’ and in ‘new economy’, for example.

*Table 2.1: Coverage of cases in the 8 transversal papers*

	Internal governance	External governance	SI as response to crises	Research relations	New Economy	Narratives of change	Inclusive society	SI and space
Ashoka	X		X		X	X		
Basic Income		X	X				X	
Credit Union	X		X		X			
DESI			X		X			X
Int. Coop Housing	X		X					X
FabLabs	X		X		X			
GEN	X		X	X	X	X		X
Hackerspace	X		X					
OIPD – Budgeting		X	X				X	X
Impact Hub	X		X	X	X			X
Inforse		X	X		X			X
Living Knowledge			X		X			X
Living Labs	X		X					X
RIPESS	X	X	X		X	X		
Seeds	X		X					X
Shareable			X					X
Slow Food		X	X					
Timebanks		X	X		X		X	
Transition Town			X		X			X
Via Campesina	X		X					X

As concluded in the above, near all of the papers focus on a smaller subset of the total of 20 cases. Such comparative case set-ups are clearly building on the typical advantages of case research. Even if they broaden the empirical basis, they maintain some of the depth and detail of single-case empirical analysis. There is also the pragmatic consideration that this allows the analysis to be shaped by relatively small groups of researchers.

Regarding the quantity of observations, these low-N research designs provide little scope for generalization. They lack the quantity of replicated observations. But as Flyvbjerg (2006) has pointed out, this positivist logic need not be imposed on comparative case designs. Instead, these set-ups typically aim for *theoretical* generalization, building generic insights on the logic that connects the different cases. In the light of a certain theory, cases can be identified as extreme, exemplary, or most similar cases in particular aspects – and as such they allow to tentatively formulating conclusions about a broader set of cases beyond the case itself. For example: “If transformative impacts are reached in this case despite unfavourable circumstances X, Y and Z, they can probably be reached in many other cases”.

The strategy of capitalizing on the in-depth qualities of a few cases and theoretical generalization implies that it is of high importance to think through the choice of particular cases and not others. Table 2.2 below provides an overview of the different approaches taken. There are several strategies that have clearly been frequently deployed. First, many of the transversal studies are building on ‘positive cases’ regarding a certain theoretical issue. They gather cases that have earlier been reported to display ‘institutionalization dialectics’, ‘strivings for inclusiveness’, or

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‘relevance of spatial context’. Second, there some cases in which the aim has been to gather as great a diversity of such positive cases as possible (‘SI and space’, ‘internal governance’), whilst others rather have purposively delimited the number of cases to include (‘research relations’, ‘narratives of change’, ‘inclusive society’, and ‘external governance’). Third, there are two transversal analyses that avoid the pre-selection of ‘positive cases’ and include all case material available (in case of the ‘new economy’ paper, the 12 batch I cases were all that was available at the time of writing). Both papers thus include cases that may turn out as ‘negative cases’, not particularly exemplary or insightful for themes or questions addressed.

Finally, there is the important circumstance that some transversal papers have been concluded in the form of conference or working papers, whilst others are still in progress. As a consequence, some of the advanced papers have well-developed identifications of cases as ‘extremes’ or ‘exemplars’, whilst others have yet to start making these analytical steps beyond the first-impression characterization of cases. As an example of the advanced papers, the Narratives of Change-paper has arrived at an elaborate account of the ‘maximum variation’ between its three cases. The developed insights in the various dimensions of difference between the three cases play an important part in the conclusions and findings that the paper brings forward.

*Table 2.2: Sampling strategies for inclusion of cases in paper*

Paper	Sampling strategies for papers
Internal governance	Comparison of 11 apparently diverse ‘new organisational forms’ or SI ‘governmentalities’. The cases have been selected as they –in one way or the other– seem to bring forward ‘new organisational forms’. In quite some cases this is even explicit in their names such as ‘Hubs’, ‘Spaces’, ‘Labs’. Starting from a few exemplar cases that were reported to bring forward new organisational forms’, others have been added with the aim to include a broad variety of these forms. A key rationale was to ensure a diversity of positive (i.e. displaying the phenomenon of new organisational forms) cases.
External governance	Comparison of diverse institutionalization processes (historical/contemporary, different institutions involved, different institutional contexts) of 12 local manifestations (taken from 6 SI initiatives). Starting from three exemplar cases displaying institutionalization dialectics, three other cases have been added that appear to contain striking institutionalization dialectics. The N=6 (or 6x2=12 local manifestations) seems maximum for a sufficiently in-depth comparative case set-up.
SI as response to crisis	Broad proposition testing/exploration through full N=20 population of TRANSIT cases. The choice for the N=20 was meant to capitalize on the (quite exceptional) availability of 20 reasonably harmonized case studies.
Research relations	Use of only three cases, so as to be able to present empirical material in some depth. Cases were chosen as exemplary cases, for the involved researchers’ sustained engagements with the researched individuals/networks.
Narratives of change	Use of only three cases, to be able to present them in some depth. The cases were selected through a strategy of ‘maximum variation’ (Flyvbjerg 2006) – together they form three archetypes through which the multiple dimensions of the ‘narratives of change’ phenomenon can be unfolded.
New Economy	Use of all 12 cases covered in batch I. Focus on twelve broadly diverse cases covering different domains to explore their commonality in terms of their linkages

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	to the new economy discourses.
Inclusive Societies	The cases were chosen as exemplary, related and complementary cases seeking greater inclusion, yet each in a different way and addressing different aspects of exclusion/inclusion (social, political, economic). All three respond locally to critiques of dominant social arrangements in respect of systems already under stress (market economy, representative democracy, welfare arrangements), sometimes in alliance with local authorities to achieve impact.
SI and space	Use of approximately 10 cases (focusing on the local manifestations) in which the spatial dimension is/ seems prominent. The cases have been selected as case researchers reported them as positive cases, i.e. they indicated the spatial dimension to be relevant in them.

One thing to consider for all the papers is how to make effective use of the full N=20 that we have at our disposal. This is a quite exceptionally broad empirical basis to have available, and in fact one of the supposed fundamentals of TSI theory. Table 2.3 below provides an overview of the various ways in which the N=20 are envisioned to be made use of. Three approaches can be distinguished. First there is ‘responses to crisis’ study that seeks to make use of the full array of TRANSIT cases. But as there are various good reasons for focusing on smaller subsets of cases, this is a singular exception. Second, there are few smaller-N transversals for which the broader set of 20 acts as a basis for validation. The ‘internal governance’, ‘external governance’, ‘SI and space’ and to a certain extent the ‘inclusive societies’ papers all foresee to confront their findings with the initially excluded cases in a second stage of analysis. The broader set is to serve as an external validation to test/solidify the main insights gained (see Yin 2003 for the importance of such external validity). Third, there are also some transversal papers in which no such broader validation is envisioned – possibly because only the selected cases have been identified to be relevant for the particular research question or TSI aspect. The number of selected cases also depends on the amount of data forming the basis of analysis in each respective paper. While some papers focus on one particular aspect and rely on comparatively few and specific details, other papers require broad consideration of empirical material rich in details and from a large variety of sources. Another relevant consideration is the earlier-mentioned pragmatic choice for working with only a limited number of researchers: Most transversal papers presuppose a significant degree of shared interpretive work.

*Table 2.3: Making use of N=20*

Paper	Making use of N=20
Internal governance	Limited set of cases was used for sake of sufficient qualitative depth; other cases serve as next stage validation
External governance	Limited set of cases was used for sake of sufficient qualitative depth; other cases serve as next stage validation
SI as response to crisis	The choice for the N=20 proposition testing/exploration was meant to capitalize on the (quite exceptional) availability of 20 reasonably harmonized case studies.
Research relations	No engagement with full set of 20 cases.
Narratives of change	No engagement with full set of 20 cases in this paper, however follow-up papers

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	may include a broader set of cases.
New Economy	No engagement with full set of 20 cases
Inclusive Societies	There is brief reflection on how some of the other SI in the set of 20 relate to the issue of inclusion / exclusion, such as FabLabs, Living Labs and Credit Unions.
SI and space	Limited set of cases (N=10) was used to allow comparison with enough depth. Only the cases with a prominent spatial dimension were relevant.

## 2.2 Case variation

Most of the transversal papers focus on a subset of the overall N=20 cases. These comparative exercises tend to have started out of intuitive associations between emergent theoretical topics and questions on the one hand, and apparent relevancy of certain cases on the other hand. Beyond this initial, intuitive phase, it should become clearer how the cases included relate to the key analytical dimensions of the paper. Table 2.4 below indicates the variation between cases as it has been identified in the different transversal papers.

Before going into the different dimensions of difference indicated by paper leads, an important background to all transversal papers is that they all draw on an N=20 set of cases that itself has been selected to constitute a certain diversity of cases. The batch 1 cases have been selected from different fields of social innovation, and responding to different narratives of change and game-changing developments. The batch 2 cases have been selected for their display of different SI themes. All of them are supposed to represent transformative social innovations, rather than 'conventional' or only system-reproducing social innovations. Moreover, all cases have been actively nominated by TRANSIT researchers, which also imply certain assessments of how they score on certain theoretical dimensions. This all reminds that our N=20 is not a natural set of TSI cases out there waiting for us to research them, but it is a constructed, chosen set.

Next to these many dimensions of case variation implicit in all TRANSIT cases, the table rather indicates the specific considerations made for the transversal topic. For example, the 'external governance' paper on institutionalization dialectics sketches beforehand how the SI initiatives are involving different transformative ambitions in different directions, or their more or less radical or shallow character. It also distinguishes the time periods over which they evolved and the time periods covered by our studies – which is relevant given the ambition to reconstruct TSI processes. The other cases indicate similar moves towards at first only basic distinctions on the key theoretical issue (strong 'space of flows', or rather strong 'space of places' imprint for example)-gradually developing deeper insights on the main dimensions of difference between cases, and the 'kinds' and types of cases that can be constructed.

It thus becomes evident that the cases can be considered to differ on a vast range of dimensions – reflecting that TRANSIT has developed a broad set of theoretical distinctions, and that TSI can be explored for many different transversal themes. It is therefore a matter of articulating for each transversal paper specifically along which dimensions its cases vary - and how these variations are

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important for the particular theme addressed. Constructs and considerations informing initial case selection are certainly worthwhile to revisit in (transversal) case analysis.

Table 2.4: Variation between cases

Paper	Varying dimension(s) between cases
Internal governance	Organizational forms and purposes these are intended to serve
External governance	Kinds of institutions addressed, historical and contemporary cases
SI as response to crisis	Confirming or negating particular 'response to crisis' propositions
Research relations	Relations between researchers and research participants
Narratives of change	Ideas, concepts, metaphors, discourses or story-lines about change and innovation, and their construction and communication of SI actors in the embedded cases
New Economy	Relation and contribution to the new economy
Inclusive Societies	Narratives of change (the motivations for change, the transformative ambitions and the theories of change of the SI) as these relate to the theme of inclusion /exclusion and the approaches to framing, knowing, organising and acting that manifest in mechanisms to overcome exclusion and/or increase inclusion. The focus includes how the SI understand inclusion/exclusion and similarities/differences between the SI and current (establishment) inclusion policies.
SI and space	Different manifestations of 'space of flows' and 'space of places' and how this relates to the process of transformative social innovation

## 2.3 Units of analysis

In TRANSIT, we chose to focus on transnational networks and their local manifestations as key units of analysis. We have done so as a way to respond to a TSI ontology of 'glocal' agency, of 'locally rooted, internationally connected' TSI initiatives. We have theorized these assumptions about the kinds of dispersed agency that we're dealing with through the Jasanoffian 'co-production' framework, and Pel et al. (in progress) articulate how this is very much in line with ongoing discussions about the identification of patterns in transformation processes. In our D4.2 deliverable (Jørgensen et al. 2015) we have explained how we've emphatically opted for case designs with 'embedded units of analysis' (Yin 2003).

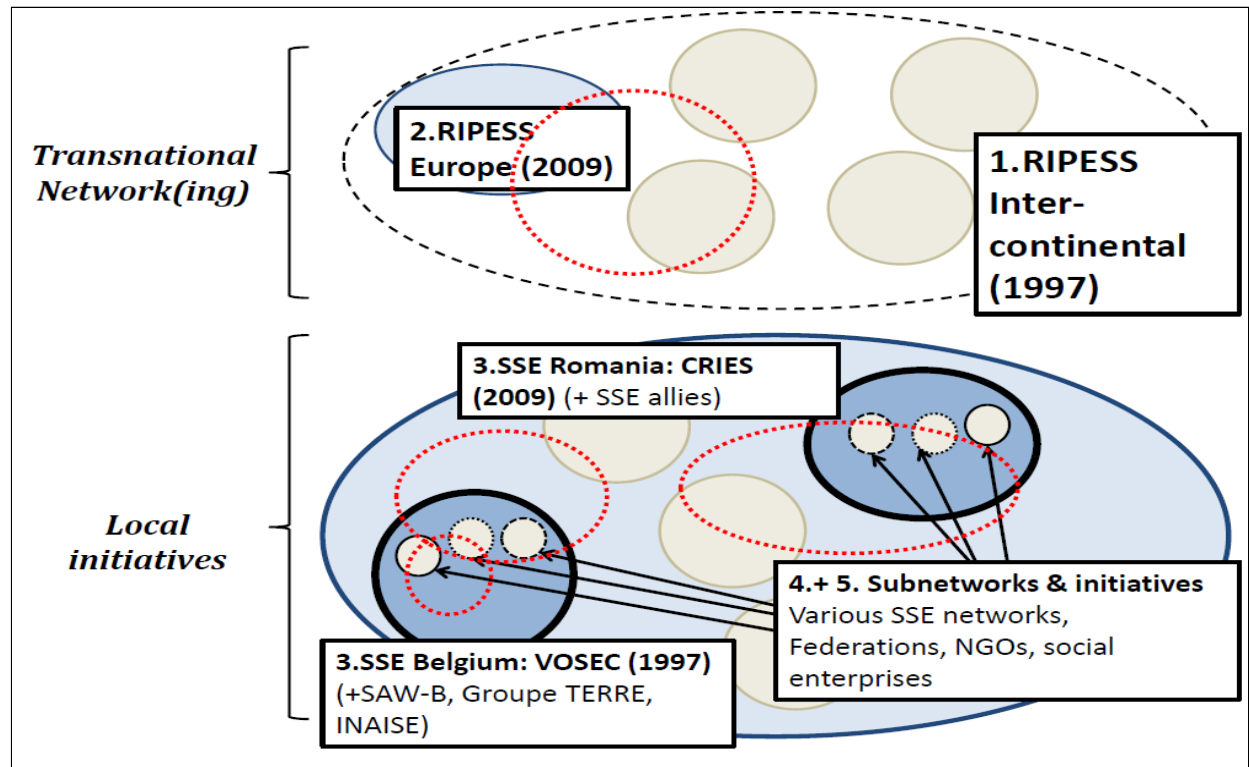
So whilst we *name* our 20 cases after the transnational TSI networks that they describe and analyse, they *are*, in the way that we conducted them, cases of co-produced TSI processes. They contain collections of observations on diverse, layered, embedded individuals, organizations and acting entities: more or less 'local' manifestations and more tightly or rather loosely connected transnational networks, more or less encompassing groups of initiatives and agents that they co-produce with, and different (spatial, institutional) contexts of TSI co-production. The figure below



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from the RIPESS case study visualizes some of the multiple units of analysis that structure our cases.

Figure 2.1: The multiple units of analysis our case studies consider based on the example of RIPESS



Which of the several units of analysis are the most relevant and worth focusing on in transversal analysis, depends on the particular question raised, of course. Each of the eight transversal papers has therefore developed a focus on particular units, rather than taking integrally on board the case study findings. Table 2.5 below displays the key units of analysis in the transversal papers.

One observation is that the transversal papers involve a choice regarding the transnational networking/local initiative level of analysis: In two papers ('research relations' and 'external governance') there is a clear focus on the local manifestations, for example, whilst two other papers focus rather on the network level ('narratives of change', 'SI as response to crisis'). The other half of the papers maintain the approach of the case studies, analysing both on the level of locally rooted action and on that of the global interconnectedness.

Second, we can see how several papers focus on certain units of analysis and their particular relations with other units of analysis as we've theorized them in TSI proto-theory. So there are specific method choices to gain focus on the spatial embeddedness ('SI and space') of local manifestations, on their relations with dominant institutions ('external governance', 'inclusive societies'), on their relations with the researchers that interact with them ('research relations'), and on the ways in which they cluster with other agents ('internal governance'). Finally, in the 'narratives of change' paper the eventual unit addressed through transversal analysis (i.e. the meta-narrative) is initially constructed from case-based material.

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Table 2.5: Units of analysis

Paper	Units of analysis
Internal governance	Local manifestations (and their ways of being embedded)
External governance	Local manifestations, and their relations with dominant institutions
SI as response to crisis	TSI networks and the systems (possibly in crisis) in which they emerged
Research relations	Local manifestations and relations to researchers
Narratives of change	Meta-narratives of social innovation networks
New Economy	Embedded case: Networks and their local initiatives
Inclusive Societies	Embedded case: Networks, their local initiatives and their relationships to dominant societal systems and arrangements, including mainstream policies for inclusion
SI and space	Local manifestations and their relationship with the network, spatial context

## 2.4 Use and availability of data

*How have the cases been revisited? What data were used? Which data/conclusions/findings informed the analysis?*

We have taken various measures to ensure harmonized data gathering of otherwise very diverse TSI phenomena. The case study reports of batch I and batch II case studies are all shaped by quite detailed formats and structuring empirical questions. As the theory development progressed, the batch II structure is different from that of batch I, but still there is significant overlap between the two sets of cases. There is also considerable homogeneity in the data gathering methods deployed, such as participant observation, interviews and document analysis. The methodological guidelines also established minimum requirements in terms of data quantity, and therewith in depth of analysis.

Still, notwithstanding the homogeneity and uniform quality standards achieved through the guidelines and report templates, it remains a challenge for any transversal paper to make sure that the data needed for its questions is actually available. After all, these transversal themes may not correspond one-to-one with the research foci and analytical categories of Batch 1 and Batch 2 case studies. The level of detail or the specific piece of information required for transversal analysis along a particular theme may occasionally exceed the data collected for the broadly scoped case study reports. Table 2.6 below provides an overview of the data that the respective transversal papers are building on, as well as lead authors' reflections on the availability of the data needed to develop their transversal topics.

The following can be concluded from the table: first, there are few evident examples of transversal themes that explore topics not explicitly targeted in the case study reports. The 'SI and space', 'new economy' and 'inclusive society' papers all explore transversal themes that may have arisen out of reflections on Batch 1 and Batch 2 cases, but they do not correspond directly with particular

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sections of the case reports. The transversal paper leads therefore seek to draw on somehow related case report sections, but also establish mini-questionnaires for case researchers to collect the specific data needed for these papers. Second, about five of the eight transversal papers stay fairly close to research foci as deployed in the case study reports (the upper five in the table). This also speaks from their summary titles, which correspond with established TRANSIT research foci (e.g. internal/external governance, ‘research relations’). Still, this does not guarantee that the data processing could be undertaken through a straightforward copy/paste of case report sections. The transversal studies arrive at slightly adapted, refined approaches as they zoom in on details or unearth relations between data collected beyond the scope of the more broadly-focused case study reports. The internal/external governance papers can thus draw on the corresponding case report sections, but they raise specific questions that are not fully provided in case reports. Likewise, the ‘research relations’ and ‘narratives of change’ papers involved a degree of re-analysis and return to the data. A general conclusion asserting itself is that the case reports are thus important resources for transversal papers, but generally do not fully substitute for the (substantial!) underlying data.

*Table 2.6: Use and availability of data*

Paper	Data used in transversal papers
Internal governance	Based on ‘internal governance’ category and ‘new organizing’ category in (latter only in batch II) case studies. Research questions were based on TRANSIT propositions and not very remote from research questions in case study guidelines. Needs to be seen yet to what extent return to data is needed.
External governance	Based on ‘external governance’ category in case studies. Research questions were based on TRANSIT propositions and not very remote from research questions in case study guidelines. Needs to be seen yet to what extent return to data is needed.
SI as response to crisis	Related to batch I category of ‘game changers’. Research questions were based on TRANSIT propositions and not very remote from research questions in case study guidelines. Needs to be seen yet to what extent return to data is needed.
Research relations	Data used originates partly from actual TRANSIT case study work (the methodology sections of the case study report) and partly it is original data gathering: researchers answered a number of questions specifically for the paper on the basis of the data they had collected during TRANSIT and previous fieldwork with the initiatives
Narratives of change	For all cases data had been collected on narratives of change as one of the sensitizing concepts of the first iteration of TSI theory. However, case study data had to be revisited to develop a richer and more ‘empirically grounded’ understanding of the composition, communication and (assigned or assumed) function of narratives of change. Therefore, the case researchers (re-)analysed their empirical data based on a number of conceptually driven guiding questions.
New Economy	The focus of the TRANSIT case report has not been on collecting data with regard to the economic understanding of the cases. Therefore a number of questions was developed and answered by case researchers on the basis of the data they had collected during TRANSIT.
Inclusive Societies	The paper draws on the literature and policy references concerning the meanings of inclusion and exclusion in relation to dominant societal structures, systems, and mechanisms, on past and current policies to address the concerns, and at policy critiques of these. This provides a contextual framing for reflection on the SI, their theories of change, and how these interact with policies and trends affecting dominant systems.

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SI and space	Data gathered hardly focused on 'space of places' and 'space of flows', which is a challenge. A data-entry sheet has been developed that operationalizes those concepts. Researchers fill this with some new data, but also based on the data that they have, mainly the data collected for understanding the social context and the relationship between the local manifestation and the network.
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## 2.5 Use of sensitizing concepts

The TRANSIT case studies have been guided and structured by a set of ontological assumptions, theoretical categories, and data gathering principles. Especially strong structuring has been achieved through the key theoretical concepts adopted from the theoretical stream of TRANSIT. The first batch of case studies have thus been conducted under the guidance of the 'shades of change' heuristic, whilst the second batch has been guided strongly by the co-production framework and the doing, organizing, framing and knowing as intertwined yet distinct dimensions of TSI processes. The transversal themes of governance, monitoring, resourcing and learning were prominent categories in both series of case studies.

These theoretical concepts have also had the status of proto-theoretical concepts. The cases were not only applying the theory or driven by it, the cases were also meant to shape and help elaborate the theory in turn. This is inherent to the iterative approach towards developing 'middle range theory', as discussed in Jørgensen et al. (2015) and Haxeltine et al. (2015). In other words, case researchers have been deploying the theoretical concepts as sensitizing concepts, as only rough indicators of what to look for. Moreover, these sensitizing concepts have not been the final words on various TSI aspects, but have been vehicles for the exploration of them. Through the often advocated 'continuous comparison' between empirical observations and emerging theoretical categories (Cf. Suddaby 2006), theoretical concepts have been gradually refined. Because of the gradual refinement that sensitizing concepts tend to undergo as they are applied and explored, it is also normal that the transversal papers display such shifts in key categories; thereby shedding light on and contributing to theory development. Often starting as quite straightforward exercises of comparing on key TRANSIT categories, transversal explorations easily come across empirical anomalies or other theoretical constructs that seem more adequate than the initial categories. Table 2.7 below displays some examples of sensitizing concepts that have been deployed and explored in the eight transversal papers.

A first observation to make is that all papers start from one or several key TSI concepts (the 'research relations' paper being a bit of an outlier as it concerns not so much empirical analysis of aspects of TSI processes, but the researcher relations unfolding along the research process). This usefully ensures that the comparative findings can be used to inform TSI theory building, rather than remaining parallel research efforts.

Second, it is equally clear that all papers involve a good deal of further concept development. The 'new economies' and 'narratives of change' papers involved much work in thinking through what empirical phenomena this concept should be taken to refer to, precisely. The 'social context' and 'dominant institutions' categories (Cf. Haxeltine et al. 2015) are similarly broad concepts that are typically being unpacked into more specific categories in the 'SI and space', 'inclusive societies' and 'external governance' papers. Moreover, the 'responses to crisis' paper has been inspired by the 'game-changers' category – but taking into account further TSI theorizing that took us beyond the 'shades of change' heuristic, it aims from the outset to develop a somehow more adequate vocabulary for the significance of crisis phenomena.

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Third, there are a few papers that work with sensitizing concepts from both batch I as well as batch II case study guidelines. The ‘new economies paper’, restricted to batch I case studies, invoked the later-stage theoretical understanding of SI in terms of changing social relations to make better sense of the ‘new economies’ in SI that it explores. The ‘internal governance’ paper is similarly accounting the batch II relational ontology and process perspective to refine the earlier understandings of ‘internal governance’. Fourth, there are clear examples of importing sensitizing concepts from existing bodies of knowledge that seem compatible with our TSI understanding without having been integrated (yet). Examples are the space of flows/space of places distinction by Castells (‘SI and space’), the invocation of the Waterloo school’s ‘adaptive cycle’ (‘SI as response to crisis’), the recently coined transitions-theoretical category of ‘social niches’ (‘internal governance’) or the ‘translations’ concept borrowed from the (relational) actor network theory (‘inclusive societies’, ‘external governance’). As the papers progress further, a further proliferation of concepts is likely to happen.

*Table 2.8: Use of sensitizing concepts*

Paper	Use of sensitizing concepts
Internal governance	The ‘internal’ governance category has become surpassed through the overall co-production framework – the local initiatives are embedded actors. The ‘new organizing’ of the doing, organising, framing and knowing dimensions has been a batch II focus expanded on. New categories are ‘organizational forms’, ‘governmentalities’, and ‘social niches’ – all theoretical terms in adjacent research fields.
External governance	The sensitizing concepts such as ‘translations’ and ‘capture’ are used as developed in the TRANSIT working paper on governance, in the Multi Actor Perspective, with additions from institutional theory. The category of ‘external governance’ is not used as such, but roughly maintained. Sensitizing concepts adopted from D3.2 proto-theory are the ‘challenging, altering, replacing, reproducing’ of dominant institutions.
SI as response to crisis	The paper alludes to the batch I ‘game-changer’ category, but this term has been dropped in TRANSIT theorizing. Instead, there is a general reference to propositions about SI ‘emerging through crises’ – supplemented by the Waterloo school conceptual framework of ‘release’ and ‘reorganization’ in the ‘adaptive cycle’ of the resilience framework. It is tested/explored to what extent these insights could inform the construction of refined conceptualizations of ‘game-changers’ and ‘crises’.
Research relations	This paper has a more methodological focus in that it analyses the relations between researchers and research actors – considerations and reflections on these relations were reported on as part of the methodological sections of all case study reports.
Narratives of change	‘Narratives of change’ has been one of the sensitizing concepts in both iterations of TSI-Theory – meaning empirical data gathered could be used. However, the paper further developed the concept by drawing on (recent) insights from narrative and discourse analysis, inspired by the notion of co-production. It considers in-depth the content, role and production of ideas and stories about change and innovation of SI actors and initiatives.
New Economy	The paper focuses on the specific visions on the economy by each of the cases and relates these to the emerging discourse on different versions of a New Economy. It investigates how these a) relate to narratives of change on the new economies (and thus makes use of the sensitizing concept of ‘narratives of change’), b) (re)build social relations enabling new economies (building upon the definition of social innovation as new social relations) and c)

challenge institutional boundaries through ideas and practice.	
Inclusive Societies	The dominant systems and the relation to these of the SI is a central theme, in part because this highlights the change strategies of the SI and the dynamics of these, which is important for exploring the scope for translating transformative potential to transformative impact.
SI and space	Space is a part of the social context (central concept in TRANSIT).The paper addresses the complexity of the social context by unpacking space as multi- dimensional concept with networking and local characteristics (space of flows and space of places respectively). It uses a conceptual lens from urban studies and hence it also contributes to positioning the TRANSIT findings in the field of urban studies (now it is mainly positioned in the field of transition studies, where the debate around conceptualisation of space is not so strongly developed).

2.6 Comparison strategy (pattern construction)

All transversal papers seek to develop comparative insights. They expand on the considerable research effort (see part I of this D4.4 deliverable) that has gone into the 20 single-case studies, zooming in onto particular topics, aspects or processes that are relevant for TSI theory. The transversal papers typically aim to identify certain patterns that occur across broader numbers of cases. The key to thorough cross-case analysis is looking at the data in many different ways, and identifying striking patterns in them by confronting theoretical propositions or initial ideas with the empirical evidence. This is generally not a matter of ‘recognizing’ patterns that are waiting for them to be detected, but rather a sustained effort of systematic comparison between apparent patterns on the one hand, and fine-tuned interpretations of empirical evidence on the other hand.

Table 2.9 below displays paper leads’ accounts of their approach to pattern construction. As most papers are only in the early stages of development, with development of theoretical focus, case selection and establishment of authorship as typical early moves, it is as yet difficult to draw elaborate conclusions on the approaches to pattern construction. The following can be observed: First, the transversal papers are all confronting the complicating circumstance that they cannot rely on a dedicated comparative case design that channels all the individual cases into comparative findings. The sets of cases had to be constructed for each transversal paper separately, and the paper leads need to verify to what extent the generic empirical questions can actually be answered for all individual cases (the harmonization measures in WP4 have not yielded fully identical case reports, after all). Second, the details of the cases and the underlying basis of empirical data are in the minds of individual researchers, and are dispersed over a group. This is very different from the situation in which a single researcher embarks on a comparative case study, with comparative insights starting to develop once first shreds of data have become available on all the cases, i.e. during the data gathering process already. For the transversal papers this means that a certain stocktaking and getting acquainted with cases needs to precede the process of pattern construction.

Third, there are still some different kinds of pattern construction to discern already. Some transversal papers are clearly aiming to map diversity on a particular dimension – a more descriptive rather than explanatory approach. This is apparent in the ‘new economies’, ‘internal governance’ and ‘SI and space’ papers. Some others start from a mapping of diversity, but also seem to construct typologies as theoretical explanations (‘new economies’, inclusive societies’, ‘narratives of change’). There are also a few papers that aim to construct process patterns –



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accounting for dynamics, changes and typical sequences of events (Cf. Pettigrew 1997; Langley 1999), namely the upper three in the table. As opposed to the emphatically time-sensitive process approaches, the other five papers are relatively more oriented towards variables or characteristics (see Blatter & Haverland 2012 for these distinct approaches to explanation-through-case study). Still, all papers are also mixtures of these approaches – just as the underlying case studies contain a mix of process data and data on relatively static case characteristics. Interesting patterns regarding changes over time or notable case differences along particular dimensions are likely to emerge through analysis of within-group similarities and across-group differences (Eisenhardt, 1989). Finally, some of the papers are engaged with hypothesis testing, or empirical exploration of theoretical propositions. The actual hypothesis testing ambition is only evident in the ‘responses to crisis’ paper, yet several other papers have been constructed around one or several TSI propositions (as formulated in Haxeltine et al. 2015).

The generation of evidence on TSI propositions has been actively encouraged as a way to maximize the added value of transversals papers for theory development. Chapter 4 provides an overview of envisioned contributions to theory development.

*Table 2.9: Comparison strategy*

Paper	Comparison strategy
Internal governance	Will primarily be undertaken as taking stock of diversity
External governance	Will start from stock taking of striking turning points in (institutionalization) processes
SI as response to crisis	Starting from rough categorization between cases in which propositions were confirmed/disconfirmed– thereafter refinement of categories.
Research relations	The theme of research relations was vividly discussed at TRANSIT’s kick-off meeting and taken up as a theoretical and practical field to further explore with a number of interested TRANSIT researchers. The cases were compared along a number of specific questions developed from the theoretical basis of the paper.
Narratives of change	The concept of narratives of change is one of the sensitizing concepts and based on a first analysis of narratives of change in TRANSIT Deliverable 4.2, a number of TRANSIT researchers took this concept up to further develop it. The cases were compared along a number of specific questions developed from the theoretical basis of the paper.
New Economy	The cases were compared along a number of sensitizing concepts: their narratives of change on the new economies, the (re)building of social relations enabling new economies and how these challenge institutional boundaries through ideas and practice.
Inclusive Societies	All the sensitising concepts are useful and are used, but the concept of generative mechanisms created through interplay with actors beyond the SI and the concept of translation are particularly interesting for analysing the efforts of these SI towards inclusion. Emphasis is placed also on the change strategies of the SI, on tactics, and on dynamics of these to address questions such as: To which extent is it useful to adopt multiple frames and to work within establishment norms in order, ultimately, to have impact? To which extent does achieving impact involve flexibility over principles and values? To which extent is being politically-neutral strategically helpful? So the paper draws on, but might also add new TSI propositions. These questions are addressed, necessarily in this paper only in relation to the theme of knowing/organising/doing for inclusion/exclusion.

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SI and space

Based on the central theme selected, cases were chosen that seemed relevant, interesting and fitting. Case study researchers were asked to distil and contribute relevant insights (based on and going beyond the case study report). Cases were compared and contrasted on how the interactions between the space of places and the space of flows have contributed to shaping the (T)SI, and on the relative importance of the spatial dimension (e.g. does it play a role in (dis)empowerment?) .

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## 3 Transversal Analysis Papers

### 3.1 Internal governance of social innovation

**Title:** New governmentalities in TSI; a comparative case study into the formation processes of 'social niches'

**Authors:** Bonno Pel, Adina Dumitru, Tim Strasser, Adrian Smith, Flor Avelino, Iris Kunze, Saskia Ruijsink, Julia Wittmayer, Lucas Becerra/Paula Juarez, Reka Matolay/Balazs Balint, Tom Bauler

**Timeline:** First Empirical insights ready End April, First Draft ready End May, Submission to conference End June, Elaboration into Journal Submission September-December 2016

**Target journal(s):** Interpretive Policy Analysis conference (Hull, UK), Journal to be decided later.

**Extended abstract:**

#### General considerations for paper:

The initial idea behind this TRANSIT WP4 transversal paper was to develop the case study category of 'internal governance' further. We have various intriguing observations of 'holocracy', 'adhocracy' and various other modes of coordination that SI initiatives (local manifestations + networks) develop as innovative ways of doing things together (see TRANSIT brief #2). In our proto-theory we also formulate some propositions on the emergence (and sustenance) of SI initiatives and the agency in TSI processes. Moreover, there also seems to be a broader interest in the socially innovative ways of organizing that can be found in the SI initiatives we study – see the widespread fascination with cooperatives, citizen's initiatives, Transitions Towns and maker spaces for their informal self-organizing and learning structures.

The internal governance by itself – narrowly understood as a coordination structure for a certain group of people – seems not very interesting for TSI theory development. Instead of such rather inward-looking study, the paper should treat the topic in the context of broader TSI processes. A second, related consideration is that we should nuance the 'internal' nature of our internal governance category through our overall co-production perspective (in which the internal is seen to be shaped by the external and vice versa). We have studied the internal governance of local manifestations whilst taking into account their membership of transnational networks and their struggles with dominant institutions. Third, it is advisable to look beyond the static characteristics (mission statements, statutes, charters, rules and organisational forms) and analyse their dynamics, the processes through which internal governance arrangements change and adapt to

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circumstances. We should try to make this a ‘process analysis’, as described in WP5 deliverables.

## Outline:

### 1 New ways of organizing; internal and external functions

Amongst actors seeking to bring about transformations in society, there is an unmistakeable search for new ways of organizing. Next to and in conjunction with the new knowings, framings and doings that social innovation initiatives typically try to promote (Haxeltine et al. 2015), they are also bringing forth new ways of organizing.

Beyond the relatively known forms of alternative organizing such as cooperatives, associations, we also see practices of ‘holocracy’, ‘adhocracy’, direct democratic decision-making and various other modes of coordination that SI initiatives develop as innovative ways of organizing and doing things together (Jørgensen et al. 2015). Moreover, we see how local social innovation initiatives are often closely aligned with other local, regional and national actors, and often form part of transnational networks of like-minded initiatives. This active striving for network formation and co-produced change can be considered further signs of new organizational forms (Rao et al. 2000) or newly emerging governmentalities (Swyngedouw 2005): the initiatives are consciously not constituted as self-contained units, but rather as nodes embedded in networks – as sometimes expressed explicitly through their narratives of change (Wittmayer et al. 2015, see also Scott-Cato & Hillier 2010).

Even when it is evident that these new organisational forms are purposively developed – as especially the newly coined neologisms like ‘holacracy’, ‘labs’ and ‘spaces’ suggest -, it is not immediately obvious *for what purposes* the new organisational forms are developed. This issue of strategic purpose is interesting, as we want to know about the role these initiatives play in processes of social transformation, and about the ways in which their internal governance empowers them in this regard (Avelino et al. forthcoming).

One well-known motive for the conscious shaping of new/alternative organisational forms is the formalization and sustenance of innovative values and practices (Arthur et al. 2006). It has often been pointed out for example that the alternative, institutionally hybrid forms of cooperatives and social enterprises serve to safeguard and sustain the values of the Social Economy (Defourny & Nyssens 2008). The cooperative constitution of an enterprise consolidates commitments to democracy within the firm, and prevents that profits accrue to a limited group of capital providers. In line with this, we have conjectured that *“for a SI-initiative/network to have a transformative impact it must maintain a sufficient integrity of its initial vision while also adapting its strategies/actions to the (changing) social context”* (Haxeltine et al. 2015:48, proposition 2.8), indicating the importance of maintaining initial vision and principles. Likewise, we have conjectured *that “actors continue to remain engaged only as long as a SI-initiative or network is perceived to be in line with their own vision and values”* and that *“SI-initiatives require a phase of inward-looking development*

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*with sufficient autonomy (from the social context) to develop a coherent vision” (idem, propositions 1.5 and 1.6).*

Still, it is clear that the development of new organizational forms has not only to do with internally-oriented aims of integrity, sustenance and coherence. There are also initiatives whose very name as ‘Hub’, ‘network’ or ‘Lab’ indicates how they want to act together with others, or want to facilitate the agency of others. Other initiatives seem to intend that their new ways of organizing serve as enlightening examples: many cooperatives and social enterprises also seek to demonstrate (towards the public, and towards political decision-makers) that a Social Economy is a viable alternative to dominant modes of economical production, and other initiatives seem to demonstrate alternative ways of decision-making to the apparently outdated and dysfunctional procedures of dominant institutions. Apart from this awareness-raising, the new organizational forms can also be seen to serve other externally-oriented functions like knowledge exchange, development of international recognition, construction of political voice, and joint branding of the initiatives.

The new organisational forms serve internal and external functions. Whereas literatures on Social Economy, new social movements and social psychology help to articulate the internal functions and dynamics, literature on sustainability transitions typically highlights the external functions. The latter considers crucially – in line with TRANSIT objectives - how the new organisational forms enhance the transformative potentials of the initiatives concerned. It therefore seems promising to follow up on the recently developing discussion in transitions studies on the particularities of grassroots innovations and ‘social niches’ compared to the technological niches in these socio-technical transformation processes (Seyfang & Smith 2007; Seyfang & Haxeltine 2012; Seyfang & Longhurst 2013; Hargreaves et al. 2013).

As is already acknowledged in the emerging literature, the ‘social niches’ (and their members) form a very diverse set of initiatives and organizations. A particularly useful basic distinction has been brought forward between internally and externally oriented ones (Doci et al. 2015:87; Witkamp et al. 2011). This distinction articulates how not all social innovation initiatives are aiming for scaling up or contributing to broad transformation processes, and may pursue other goals than those projected through the transitions teleology. These recent discussions on the internal/external orientations of social niches seem to be worthwhile pursuing further through the exploration of the new organisational forms and governmentalities as observed in TRANSIT case studies. The TRANSIT cases can be considered as cases of social niches. They cover a variety of innovation fields, social-political contexts, and indeed internal and external orientations. Moreover, the very multitude of new organisational forms and networked transformative agency arguably helps to shed light on the particularities of these social niches in comparison with technological niches. Finally, the fact that we have studied the development of our 20 initiatives over time allows us to bring in dynamic accounts of social niches. The comparative exploration could be led by the following research questions: *Which kinds of new organisational forms can be distinguished in our 20 TRANSIT cases? What are the internally and externally oriented purposes and functions behind them*

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*and how does the organizational form safeguard those? And which societal dynamics and framework conditions have motivated the changes in these organizational forms?*

This explorative-comparative paper could proceed as follows. A brief review of discussions on social niches and their organisational forms is used to construct an analytical framework for empirical comparison (**section 2**). After a methodological account of the data gathered and the procedures used to demarcate and compare diverse cases (**section 3**), we present and compare 5-6 exemplars of new organizational forms in social niches (**section 4**). In the conclusion, we reflect on the main findings to draw out broader insights into the formation processes of 'social niches' (and on aforementioned TSI propositions).

## 2 New organizational forms of social niches; analytical framework

This section should not lead to a comprehensive literature review or debate, but principally lead to an analytical framework, i.e. a set of carefully chosen variables/aspects on which we compare the 5-6 cases<sup>6</sup>. We also need to formulate concrete questions for the involved case researchers to answer.

As mentioned, this section can largely draw on literature on social niches, their internal/external orientations and the organizational forms developed to serve these orientations. We will of course include the TRANSIT proto-theoretical propositions<sup>7</sup> - the 'persist, move and expand' triad is a common focus in them, roughly corresponding with the internal-external distinction - and the associated theories and empirical evidence as well.

Discussion of social niches and their new organizational forms will be guided by our overall relational understanding of embedded agency: Individuals joining into local initiatives, aligning with others, and local initiatives self-governing themselves into becoming embedded in transnational networks. We also may consider the monitoring, social learning and resourcing as empowerment mechanisms next to the internal governance that we focus on. Considering the kinds of 'new organizational forms' that the TRANSIT cases seem to bring forward, the following concrete dimensions of new organizing and its internal/external purposes seem important to discuss (and subsequently ask about through analytical framework):

- Informalization and resistance to bureaucratic, hierarchical, 'instrumental rationality' (Habermas) decision-making

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<sup>6</sup> The paper primarily serves the empirical research stream of TRANSIT, rather than theoretical conceptualisation. We should leave sufficient room for empirical description and comparative analysis.

<sup>7</sup> See earlier in introduction section and furthermore: Proposition 1.10: "To persist, move and expand, a SI-initiative needs to recruit actors (create social relations) from outside of its initial group, both as supporters to provide it with legitimacy and/or resources, and to access 'intermediaries' able to translate between SI and the social context." Proposition 1.5: "Actors continue to remain engaged only as long as a SI-initiative or network is perceived to be in line with their own vision and values." Proposition 1.14: "SI-initiatives that succeed in expanding (across time and space) must develop strategies that enable the preservation of autonomy while also engaging with external actors and institutions, if they fail at this they may persist as viable 'organisations' but in a form that is captured by established arrangements (as dominant institutions and structures)."

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- (Direct, radicalized) democracy
- Safeguarding of integrity and vision
- Networked, 'rhizomic' transformative agency
- Activities to form 'global niches'/innovation ecologies/alignments with fellow niches on regional/national scale
- Transnational networking

We conclude with an analytical framework in the form of 3-4 key questions. As indicated in the introduction section, the comparative exploration could be led by research questions like the following: *Which kinds of new organisational forms can be distinguished? What are the internally and externally oriented purposes and functions behind them and how does the organizational form safeguard those? Which societal dynamics and framework conditions have motivated the changes in these organizational forms?*

## 3 Method:

This is an inductive-explorative paper. It is case-based, but it is deliberately set up as a comparative case study (Yin 2003). It does an effort towards theory building from cases (Eisenhardt & Graebner 2005).

We have (about) 5-6 cases that we will draw on, and we will try to generalize theoretically by considering them as extreme, exemplary, most similar etc. cases (Flyvbjerg 2006). And we could further validate against the N=20 population of TRANSIT cases.

We consider our cases as TSI 'journeys', as *processes of co-production* (Haxeltine et al. 2015) in which *transformation-minded SI initiatives/networks* interact with other actors and with dominant institutions in particular. That is what the introduced empirics have in common, and what makes them comparable. The guidelines for batch I and batch II help us explain in more detail how the separate case studies have been conducted. One important aspect is that all case studies include (to some degree) processual analyses, i.e. accounts of patterned sequences of events (Pettigrew 1997; Pentland 1999). We should try to build the analyses on the respective time lines and change dynamics of the case reports.

But there are also quite some differences in the construction of the cases. This affects and possibly constrains the comparative analysis, and we should be clear about this - also to help our own understanding of what we're doing analytically. The cases have been conducted through different mixes of observation/interviewing/document analysis. They have been demarcated in different ways, the cases constitute different collections of observations on more or less 'local' manifestations and transnational networks. The cases also differ in the time period over which we have studied them - so we have more historical processes to look back on, and more recent and ongoing processes that we can't be conclusive about.

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## 4 Analysis/comparative observations:

We work towards 3-5 comparative observations, let's say one for each analytical dimension or research question (the first column of table). The cases will be compared on those analytical dimensions along the table rows.

Cases/ analytical dimensions	RIPESS	Co- housing	Seed Exch.	Ashoka	Hacker- spaces	GEN	Credit Unions?	LivingLabs/ Enoll
1								
2								
3								
4								

## 5 Conclusion:

We should tease out the 3-5 striking findings and formulate what news they bring to the D3.2 propositions on emergence/internal governance. For subsequent publication it will be more important to articulate what new insights have been generated on the recently emerging discussions on the particularities of social niches compared to technological niches (Seyfang & Smith 2007; Seyfang & Longhurst 2013; Doci et al. 2015). We could also address:

- the apparent tensions and challenges involved with balancing (inward) self-organisation with (more outward-oriented) processes of alignment.
- the specific reasons why TRANSIT researchers hesitate to understand our TSI initiatives as (social) niches – or in terms of MLP.
- the assumption of local manifestations and transnational networks as key TSI agents.

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## 3.2 External governance of social innovation

**Title:** Institutionalization dialectics in Transformative Social Innovation; a comparative case study

**Authors:** Bonno Pel, Paul Weaver, Carla Cipolla, Michael Søggaard Jørgensen, Flor Avelino, Julia Backhaus, Isabel Lema Blanco, Iris Kunze, Adina Dumitru, Valentine van Gameraen, Tom Bauler

**Timeline:** First Empirical insights ready End April, First Draft ready End July, Submission to conference (if accepted) Mid August, Elaboration into Journal Submission September-December 2016

**Target journal(s):** International Sustainability Transitions conference 2016 (Wuppertal, GER). Journal: Environmental Innovation and Societal Transitions?

**Extended abstract:**

### General considerations for paper:

This WP4 transversal paper addresses the ‘external governance’ category in the TRANSIT case studies. It is meant to develop the governance theme as one of the 4 transversal themes in TRANSIT. Building upon earlier work in this research stream, the paper focuses on the institutionalization of TSI initiatives. In this regard we have earlier formulated the practical and theoretical challenge that TSI institutionalization will seldom be straightforward and unproblematic. Institutionalization of social innovation may turn out transformative, but it also may turn out reproducing dominant institutions or involve mixtures of transformation and ‘capture’. In some early TRANSIT writings we have therefore characterized institutionalization as a dialectical process, in which moments of transformation alternate with moments of ‘capture’ (Pel & Bauler 2015; Pel 2015, TRANSIT brief #2 on governance).

The paper can empirically compare how (through what patterns or generative mechanisms) transformative SI attempts are neutralized, absorbed, commercialized, or more generally ‘translated’ in less transformative doing, organizing, framings and knowing than they were intended by the SI initiatives promoting them. The paper can test/develop the associated TSI proto-theory propositions:



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- 1) **proposition 2.4:** *“SI has a dialectic relation with existing/established (dominant) institutions and structures - they both challenge them and reproduce them.”*
- 2) **proposition 2.11:** *“For SI-initiatives/networks to have transformative impact, they need to ‘play’ (make advantageous) relationships with established, institutions and actors in ways consistent with their transformative ambitions. This may follow dispositions such as complying, irritating, avoiding, resisting, compromising, hijacking.”* (Haxeltine et al. 2015)

## Outline:

### 1 Introduction: Institutionalization dialectics in TSI

Social innovation, understood as change in social relations, involving new ways of doing, organizing, framing and knowing (Haxeltine et al. 2015), is widely believed to have a great potential for addressing persistent societal challenges such as sustainability, equity, social inclusion and democratic decision-making (Moore et al. 2012, Moulaert et al. 2013). As underlined in the closely related research streams on social economy (Defourny & Nyssens 2008; 2013) and grassroots innovation (Seyfang & Smith 2007; Seyfang & Haxeltine 2012; Seyfang & Longhurst 2013), social innovation initiatives are the typical ‘social niches’ that challenge the dominant institutions and structures (Pel & Bauler in progress). In analogy to the technological niches that have been theorized to challenge the systemic failure of dominant designs and inert infrastructures to resolve major social challenges, these ‘outsider’ actors at the institutional interstices bring forward novelties on the social end of the socio-technical spectrum. Such transformative<sup>8</sup> social innovation (TSI) can be understood as social innovation that challenges, alters or replaces dominant institutions and structures (Haxeltine et al. 2015; Pel & Bauler 2015; Avelino et al. forthcoming).

The transformative potentials of social innovation initiatives are not always materializing in transformative impacts, however. Similar to what has often been observed regarding technological niches, attempts at transformative SI are often seen to become neutralized, absorbed, commercialized, or more generally ‘translated’ in less transformative doing, organizing, framing and knowing than intended by the initiatives and networks promoting them<sup>9</sup>. Social innovation is susceptible to being ‘captured’ by the institutions it was to challenge, alter or replace (Aiken 2012; Pel & Bauler 2015; TRANSIT 2015; Pel & Bauler in progress), and to fall prey to pressures towards institutional isomorphism (Fraisie 2013; Defourny & Nyssens 2013 see also DiMaggio & Powell 1983 and Beckert 2010). A well-known example is the social enterprise, which has often been seen to lose its distinctive ‘social’ aspect over time (Arthur et al. 2006; Laville 2013). A highly topical example was brought forward recently by Martin et al. (2015), indicating the ‘capture’ dynamics unfolding in the currently rising sharing economy. On the one hand, there is the affirmative-optimistic account of the sharing economy, in which dominant economic practices are replaced by more resource-efficient and socially inclusive sharing practices. On the other hand, there is the sceptical-dystopian account in which platforms like Airbnb

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<sup>8</sup> This ‘transformation’ term (rather than transition) is very prominent in IST 2016 conference theme.

<sup>9</sup> Contribution to practice focus of IST conference: ‘Clarifying the transformative potentials of grassroots initiatives’

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and Uber are seen to bring in a 'neo-liberalism on steroids' (Morozov), i.e. confirming and even exacerbating certain pathologies of dominant market institutions<sup>10</sup>. This dichotomy does not deny the particularly broad diversity of 'new economies' that is currently being promoted (Avelino et al. 2015).

In pursuing their transformative ambitions and attempting to have them institutionalized (i.e. not just challenging, but altering or replacing dominant institutions), social innovation initiatives tend to find themselves between transformation and 'capture' as possible developments<sup>11</sup>. This is not to say that these are the only two trajectories, of course: The aforementioned examples of social enterprises and sharing schemes typically display that there are many shades of grey. The 'capture' phenomenon should not be mistaken for a plain failure of transformation attempts – it rather means that<sup>12</sup> SI has a dialectic relation with existing/established (dominant) institutions and structures - they both challenge them and reproduce them. A practical implication of this dialectical, two-sided understanding of TSI is that 'capture' need not be understood as just a corrupting process that crucially needs to be countered. Instead, it is a quite regular phenomenon that has to be confronted and dealt with. Following insights from innovation sociology, institutional theory and new social movements literature, the practical challenge seems to be the following<sup>13</sup>: For SI-initiatives/networks to have transformative impact, they need to 'play' (make advantageous relationships with) established, institutions and actors in ways consistent with their transformative ambitions. This may follow dispositions such as complying, irritating, avoiding, resisting, compromising, hijacking.

Abundant theoretical arguments have already been brought forward for the proposed dialectical understanding (Moulaert & Ailenei 2005; Novy & Leubolt 2005; Arthur et al. 2006; Hargrave & van de Ven 2006; Smith 2007 Smith & Raven 2012 Laville 2013; Ashta et al. 2014; Pel 2015). Still, much work has been mainly conceptual and the empirical analyses tend to be dispersed over diverse case studies with greater and lesser relevance to TSI. This article is aimed to unfold the institutionalization dialectics of TSI through a comparative case study. It draws on data from 6 TSI initiatives. As each of those constitute nested case studies, including the activities of two of their 'local manifestations' in different countries, the study can compare institutionalization dialectics across 12

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<sup>10</sup> These two transformative/capture translations of sharing economy nicely illustrate both the diametrical oppositions in dialectics, as well as the possibility of dialectical *inflections*, i.e. the one evolving into the other.

<sup>11</sup> The practical relevance that should be highlighted in IST conference paper. Would be nice to somehow include Paul's experiences/active involvement with Timebank institutionalization. Maybe as real-world example, as introductory first paragraph of paper. Something like: "There is an apparent willingness of the UK government to support the institutionalization of Time Banks, which they see as valuable activities to activate unemployed individuals. From the side of the Time Banks, they do feel that they need some governmental support or institutional consolidation to have their social innovation really blossom and realize its transformative potential – yet they also have some doubts about the governmental embrace. Will this apparent step in institutionalization help to 'accelerate' or boost their envisioned TSI into a next phase? Or will government rather instrumentalize the Timebanks TSI, and integrate it with their policies and principles that are essentially different from those underlying the Timebanks? Will the transformative impulses thus become neutralized and captured, or strengthened, or maybe a mixture of those two? How to understand the dynamics of such institutionalization processes more generally? "

<sup>12</sup> Introducing our proposition 2.4.

<sup>13</sup> Introducing our proposition 2.11.

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institutional contexts<sup>14</sup>. Capitalizing on the timelines developed in these case studies, the article will highlight how institutionalization dialectics involve ongoing processes. These processes of contestation are likely to display not either transformation or capture, but rather alternations between and mixtures of challenging, altering, replacing and reproducing of dominant institutions. The comparative exploration is led by the following research questions: *Which institutions did the social initiatives seek to transform<sup>15</sup>? Which challenging, altering, replacing and reproducing (or variations thereon) of dominant institutions can be observed in these institutionalization processes? How did these interactions change over time?* And finally, after comparative analysis of these institutionalization processes: *Which typical patterns of institutionalization dialectics can be identified?*

The article proceeds as follows. First we develop an analytical framework for the comparison of institutionalization dialectics. Combining insights from institutional theory, Science and Technology Studies<sup>16</sup> and transitions theory, a framework is developed that accounts for the institutional hybridity of much social innovation initiatives, the co-production and translation of new ways of doing, organizing, framing and knowing that they promote, and the dynamic societal processes in which the initiatives or ‘social niches’ evolve (**section 2**). Next, a methodological account specifies the data gathering and case demarcations underlying our case comparison, as well as the analytical procedure through which the cases are compared as TSI processes (**section 3**). The comparative analysis starts from a concise overview of observations across the cases. The analysis focuses on the striking similarities and differences within the set of cases, however, synthesizing generic insights regarding our three research questions (**section 4**). The concluding section reflects on these comparative observations. Formulating tentative answers regarding the patterns in institutionalization dialectics, it is considered how situated SI agents can ‘play’<sup>17</sup> these dynamics (**section 5**).

## 2 Institutionalization dialectics in TSI: A co-production framework<sup>18</sup>

Developing an analytical framework for the comparison of TSI institutionalization dialectics, there is substantial theoretical work available to draw on. Similar questions have been raised and answered in transitions studies, institutional theory, social movements studies, organization studies, social economy and critical theory amongst

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<sup>14</sup> Although we should realize that there is not that much variety in our particular N=6 sample: A strong Northwest-European focus. The basic point is that the differentiated approach with 2 different local manifestations per initiative has some added empirical value in light of the research questions.

<sup>15</sup> This question seems relevant as our SI initiatives tend to find themselves somewhere in an -often institutionally dense, sometimes rather displaying ‘institutional void’- ‘hybrid sphere’ between market, state, civil society, and academia (see Avelino & Wittmayer). Their new DOFK can institutionalize *in different institutions*: The Basic Income for example can institutionalize in the form of governmental social security reform, but also in the form of peer-reviewed, academically accredited scientific knowledge. The research question forces us to be specific about the institutions/institutional logics challenged, replaced, reproduced etc.

<sup>16</sup> Including the co-production framework of Jasanoff c.s., but also the sociology of translations of Latour c.s.

<sup>17</sup> Again underlining practical relevance – and assuring that findings address our proposition 2.11.

<sup>18</sup> As mentioned above, this section can largely build on -and elaborate empirically- the earlier work in the TRANSIT governance stream (Pel & Bauler 2014 2015, Pel 2015, TRANSIT 2015; Pel & Bauler 2016; Haxeltine et al. 2015). Some further literature sources are added in the list of references.

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others. This has yielded overlapping, related discourses on 'capture', 'institutional isomorphism', 'co-optation' and 'repressive tolerance' that all shed light on the often somewhat less than transformative outcomes of TSI institutionalization. Whilst appreciating this substantial theoretical legacy, this empirical-explorative paper refrains from extensive literature review for the construction of a framework for empirical analysis. We work towards a set of carefully chosen variables/aspects on which we compare the 6 cases - leaving sufficient room for description and comparative analysis. Moreover, besides the aim for conciseness, it is essential that the framework theorizes institutionalization dynamics in line with the particularities of TSI. We therefore draw on the aforementioned bodies of knowledge selectively, so as to ensure that the analytical framework accounts for a few particular characteristics<sup>19</sup> of TSI. In the following we discuss 1) the institutional hybridity of much social innovation initiatives; 2) the co-production and the thereby implied translation of new ways of doing, organizing, framing and knowing that they promote and 3) the dynamic processes of societal evolution in which the initiatives or 'social niches' evolve.

A first circumstance to take into account is the institutional hybridity of much social innovation initiatives...(Defourny & Nyssens 2008; Lévesque 2013; Avelino & Wittmayer 2015)

A second circumstance to take into account is the co-production (Jasanoff 2004; Haxeltine et al. 2015) and the thereby implied translation (Bijker & Law 1992; Latour 2005; Smith 2007; Pel 2015) of new ways of doing, organizing, framing and knowing that they promote...

A third circumstance to take into account is the dynamic processes of societal evolution in which the initiatives or 'social niches' evolve. (Seyfang et al. 2007 2012 2013; Hargrave & van de Ven 2006; Grin et al. 2010 Garud & Gehman 2012 Pel 2015)

Combining insights from institutional theory, Science and Technology Studies and transitions theory, a framework for institutionalization dialectics is thus developed that accounts for some important particularities of TSI. These theoretical considerations lead into the following set of empirical questions: *Which institutions did the social initiatives seek to transform? Which challenging, altering, replacing and reproducing of dominant institutions can be observed in these institutionalization processes? How did these interactions change over time?*

### 3 Method:

This is an inductive-explorative paper. It is case-based, but it is deliberately set up as a comparative case study (Yin 2003). It does an effort towards theory building from cases (Eisenhardt & Graebner 2005).

We have (about) 5-6 cases that we will draw on, and we will try to generalize theoretically by considering them as extreme, exemplary, most similar etc. cases (Flyvbjerg 2006). We

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<sup>19</sup> 'Characteristics' also known as: our theoretical assumptions.

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could use the Theoretical Integration Workshop (May 2016 Copenhagen) as an occasion for further validation of findings, asking researchers from the other 14-15 cases to confirm/falsify/comment on our preliminary findings.

We consider our cases as TSI 'journeys', or as *processes of co-production* (Haxeltine et al. 2015) in which *transformation-minded SI initiatives* interact with other actors and - following the analytical focus in this paper - with dominant institutions in particular. That is what the invoked empirics have in common, and what makes them comparable. The guidelines for batch I and batch II help us explain in more detail how semi-structured the separate case studies have been conducted, how reflexive, through what kind of data gathering and involving X,Y amounts of observations. One important aspect is that all case studies amount to (to some degree) processual analyses, i.e. accounts of patterned sequences of events (Pettigrew 1997; Langley 1999). We will try to build our comparative analysis on the respective time lines and change dynamics of the case reports – especially considering our third research question and dialectical process perspective.

We also consider our cases as *TSI processes that unfold in different institutional contexts*. Our comparison of institutionalization dialectics can obviously benefit from the fact that each TRANSIT case study featured two local manifestations in different countries with different institutional constellations: Paul's findings on/experiences with UK Timebanking can be enriched by Isabel's findings on Spanish Timebanking, etcetera. This does not mean that we try to do some full-fledged comparative study into national policy systems, in Political Science/Public Administration tradition. It does mean that we compare our 6 cases as twins of local manifestations: Our comparative study can be said to feature 6 SI initiatives and 12 cases of local initiatives.

We specify how our data-set or population of cases has been constructed, indicating what makes them comparable. But there are also quite some differences in the construction of the cases. This affects and possibly constrains the comparative analysis, and we should be clear about this (also to help our own understanding of what we're doing analytically!). The cases have been conducted through different mixes of observation/interviewing/document analysis. They have been demarcated in different ways, the cases constitute different kinds of 'local' manifestations. Finally: A particularly important circumstance for this analysis is that the cases differ in the time period over which we have studied them – so we have more historical processes of institutionalization to look back on (INFORSE for example), more recent and ongoing processes of institutionalization in-the-making (Cf. Latour 2005) that we can't be conclusive about (Timebanks UK), and much in between. So as we briefly introduce the cases, we should also pay some attention to the age of the initiative and the period covered in our study of it. Besides the timeline specification, the introduction of cases could describe their transformative ambitions and explain a little what transnational networks and LMs have to do with each other.

**1) Timebanks (UK/ESP).** The Timebanks aim to (...). The two LMs joined the transnational network in YYYY and YYYY respectively. The first out of X and the second out of Z considerations. Contemporary example: [specify timeline].

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**2) RIPESS (BEL/ROM).** Belgium: Starting in 1997, dismantled/re-invented in 2013. A historical case. Romanian case is much more recent.

**3) INFORSE (DAN/BEL).** Few decades in Denmark, shorter period in Belgium but both historical cases.

**4) OIDP (BRA/NED).**

**5) BIEN (GER/NED).** Since early eighties.

**6) Slow Food (ESP/GER)**

## 4 Analysis/comparative observations:

The theoretical section in section 2 has yielded an analytical framework consisting of 3 pertinent, answerable (maybe needing some auxiliary questions?) empirical questions, namely: *Which institutions did the social initiatives seek to transform? Which challenging, altering, replacing and reproducing (or variations thereon) of dominant institutions can be observed in these institutionalization processes? How did these interactions change over time?*

For internal TRANSIT theoretical integration purposes but also for external publication purposes it would be desirable to work towards a *limited* set of striking comparative observations on the above questions. Two comparative insights per question, six in total, seems (more than) enough. This analytical section (and the process of empirical analysis) could be developed as follows: First an overview table. It will consist of 6 columns for our initiatives – possibly split to specify the 2 local manifestations. The 3 rows will contain the empirical answers on the three research questions – and in our empirical analysis we will search for striking differences and similarities along the rows in the table.

	RIPESS (BEL)	RIPESS (ROM)	TB (UK)	TB (ESP)	INFORSE	OIDP	BIEN	Slow Food
RQ1								
RQ2								
RQ3								
...								

Even if split into separate tables for the 3 research questions, the tables easily become jammed with qualitative information – especially in the 12-column format differentiated for the twin LMs. For TRANSIT-internal purposes not a big problem, but for eventual publication we'll need to consider how to present findings.

Beyond the overview table, the three research questions could be addressed in more detail by dividing them over 3 subsections (+1 intro subsection and +1synthesis subsection).

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## 5 Conclusion:

We should tease out the 3-6 striking findings and formulate what news they bring to the D3.2 propositions on institutionalization dialectics (and how to 'play' them), possibly presenting some patterns. For subsequent publication it will be more important to articulate what new insights have been generated on institutionalization dialectics more broadly – but assuming that the introduction + theory sections will have our propositions firmly embedded in these broader theoretical discussions, this should be fairly easy.

In any case, it seems quite likely that we can challenge, nuance or substantiate some widespread ideas about institutionalization dialectics in TSI. Some examples to consider:

- ideas that institutionalization necessarily stifles transformative impulse, and that reproduction of dominant institutions is 'bad'
- ideas that institutionalization can be understood through static factors, rather than through processual accounts of its up and down movements under changing circumstances
- ideas that institutionalization is only about support by 'government'. Our diverse cases will bring out that next to government there is also market and science institutionalization to consider (and many specific institutions within 'market' and 'state').
- ideas about institutionalization processes coloured by an implicit background of some particular country or socio-political context: This study, at the very least, brings together institutionalization processes in very diverse institutionalization contexts or 'strategic action fields' (Fligstein & McAdam 2012).

Probably we can identify some challenges for further research.

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## 3.3 Social innovation as responses to crises

**Title:** Emerging through crisis? a larger-N inquiry into crisis-induced social innovation

**Authors:** T. Bauler, B. Pel, A. Haxeltine, G. Pataki

**Timeline:** First Empirical insights ready End April, First Draft ready End July, Submission to conference (if accepted) Mid August, Elaboration into Journal Submission September-December 2016

**Target journal(s):** IST conference 2016 Wuppertal. Journal: *Ecology & Society* or *Environmental Innovation and Societal Transitions*.

**Extended abstract:**

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## General considerations for paper:

This transversal paper was originally meant to follow up on and elaborate the ‘game changers’ analytical concept. In TSI theory development this concept seems to have been abandoned, however. Still, it is good to consider *why* it has been abandoned, and why we considered it a useful analytical category at first (an important theoretical resource for this being the Ecology & Society special issue on game-changers due to appear in 2016). Moreover, the broader topic of the significance of societal crisis to TSI remains pertinent. This paper takes up some TRANSIT propositions about ‘TSI emerging through crisis’, and especially some propositions of the Waterloo/Westley school on this topic. The N=20 case studies that we have available opens the opportunity to do some larger-N validation of the adaptive cycle theorization of ‘TSI emerging through crisis’.

## Outline:

### 1 Transformative social innovation: Emerging through crisis?

There is an increasing recognition of the need for social innovation, and in particular transformative social innovation (TSI), to meet current societal challenges (Moulaert et al. 2013; Westley et al. 2013; Avelino et al. forthcoming).

Considering the urgency that is generally accorded to TSI, there is the broad understanding that it typically emerges through crisis. Crises seem to be important elements in SI initiatives’ ‘narratives of change’; SI identities are constituted and strategies are devised as responses to perceived crises (Wittmayer et al. 2015). Crises have also been considered as ‘windows of opportunity’ for transformation attempts (Moore et al. 2012) or as crucial triggers for the re-emergence of social innovation in various eras and forms (Defourny & Develtere 1999; Moulaert & Ailenei 2005; Defourny & Nyssens 2013; Jessop et al. 2013). Likewise, it is explored how ‘wild card’ events or ‘game-changers’ act as triggers for transformation processes (Walsh et al. 2014; Avelino et al. forthcoming). Yet however evident it may seem that TSI ‘emerges through crisis’ – crisis and transformation can be considered as opposite pairs like diagnosis and remedy -, much is yet to be clarified about this rather loosely formulated interaction between change processes. The frequently deployed terms like ‘triggers’, ‘windows of opportunity’, ‘wild cards’ and ‘game-changers’ are all metaphors that highlight some, but obscure other aspects about the relation between crisis events on the one hand, and emerging transformative social innovation on the other hand.

Even if the aforementioned concepts like game-changers lack precision, they need not be entirely abandoned. They can be appreciated as practically useful ways to make sense of otherwise complex and confusing TSI processes (Pel et al. forthcoming). Moreover, the (perceived) occurrence of and responses to crisis remains a pertinent topic in TSI research. It is of particular interest as crises are accounts of important ruptures in development and in time. As such, the crises are focal points for the broader ambition to develop process understandings of TSI, and to understand continuity and (sudden) change in TSI processes (Pettigrew 1997; Moulaert & Ailenei 2005; Pel et al. 2015; Terstriep ??).

As yet, social innovation research has made only modest theoretical advances however (Mulgan 2010??; Cajaiba-Santana 2014). Regarding the desired process understanding – as

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opposed to understandings based on factors and causes -, the work of the Waterloo Institute for Social Innovation Research stands out for its development of a systemic perspective on the ‘emergence through crisis’. They deploy theories of transition in social-ecological systems beyond its original application domains to make sense of the relation between systemic crises and transformative social innovation. The invocation of the so-called ‘adaptive cycle’ has brought forward compelling accounts of TSI processes, crucially highlighting how crises tend to be phases in ongoing transforming processes rather than only beginnings or end points.

This article seeks to expand on the Waterloo account of ‘TSI emergence through crises’ by validating it through 20 cases of TSI processes from various European and Latin American countries. Such larger-N comparison is as difficult to organize as it is of added value to social innovation research (Bouchard et al. 2013). Arguably, there is a need for systematic empirical comparison of the different paths that social innovation processes take, and of the crises conditions through which they emerge (Moulaert et al. 2005; Moulaert & Ailenei 2005; Defourny & Nyssens 2013; Jessop et al. 2013). After all, we can also see how some of our SI initiatives are quite continuously pursuing their desired transformations, in the face of what they perceive as quite *stable* structures of domination. Even if they may play into certain perceptions of crises to gain attention and legitimacy out of political opportunism, this does question the so seemingly obvious importance of crises. Likewise, it could be questioned what sense it makes to consider crises in general. It seems therefore worthwhile to draw on empirics from very different geographical-political-cultural contexts, and to consider which crises are generally shared across contexts – and which local crises made sense to particular TSI initiatives (and them alone).

This comparative paper could proceed as follows. First, we discuss the adaptive cycle account of ‘TSI emergence through crisis’, and distil propositions to test and validate empirically (**section 2**). After a brief account of data gathering and methodological choices (**section 3**), we analyse how our 20 cases confirm, refute or otherwise speak to those theoretical propositions on ‘TSI emergence through crises’ (**section 4**). In the conclusion we discuss the main findings, also considering what insights could be added to the ‘adaptive cycle’ framework (**section 5**).

## 2 Crisis and innovation as phases in the ‘adaptive cycle’.

As introduced briefly, there is a broad convergence onto the understanding that social innovation emerges through, or in response to, crisis. This applies especially to *transformative* social innovation: In Marxist tradition<sup>20</sup>, many SI scholars consider that impulses towards structural changes are generated by the systemic contradictions and tensions of the particular era (Defourny & Develtere 1999; Moulaert & Ailenei 2005; Moulaert et al. 2013; Jessop et al. 2013). In Haxeltine et al. (2015) we have conjectured similarly that “*SI emerges from dissatisfaction/s with existing social relations and ‘dominant’ ways of doing, organizing, framing and knowing*” and “*as a reaction to ‘tensions’ in/with technological, economic, political and social conditions*”. Crises are thus considered to mark

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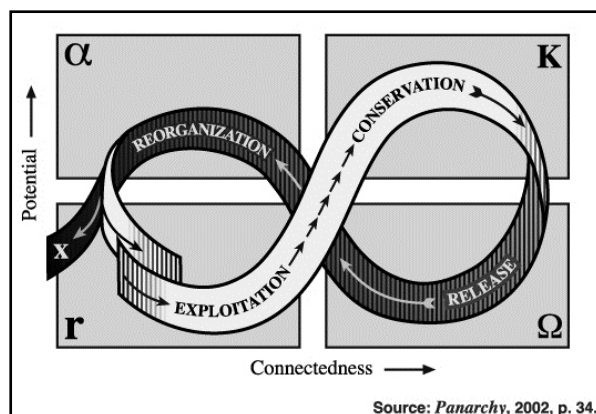
<sup>20</sup> Important to keep in mind that there is also discourse on SI that does *not* bear this Marxist-Social Economy imprint (for example CSI Vienna, SI-DRIVE, Young foundation, social entrepreneurship discourse more generally). These discourses will have different assessments of the relation crisis-SI. Something to consider at a later stage.

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disruptions in societal development that actors construct to problematize the present, to legitimate alternative futures and to inform socially innovative forms of doing, organizing, framing and knowing.

The above propositions strongly remind of the view developed by Westley, Moore and others in which TSI emerges as a phase transition from crisis to system renewal. The Waterloo school have developed a view on TSI emergence in which crisis and innovation are intrinsically related phases in an (ongoing) adaptive cycle. Classical examples of adaptive cycle patterns are forest fire recovery and otherwise resilient ecosystems. Yet as exposed particularly clearly in Moore et al. (2012:92/93), the adaptive cycle also seems to match the lifecycles of social innovations from inception to implementation. The cycle consists of four phases (and transitions between them):

1. **Release.** Powerful and rigid rules and institutions collapse, providing the ground for creative (re)combinations of ideas, people, resources and innovations as they are released from previous structures and organizations.
2. **Reorganization.** Individuals start to organize and establish coherence around newly generated innovations, also starting to select the most promising options.
3. **Exploitation.** The reorganized groups of actors leverage the resources (legislation, finances etc.) for launching and scaling up of the social innovation.
4. **Conservation.** The innovation becomes mature and institutionalizes into the new status quo. Eventually this order itself is bound to become rigid and vulnerable to crisis, and thus go into a new release phase.



The adaptive cycle perspective brings forward several important insights on TSI emergence. First, it places TSI in a systemic context, i.e. as a phenomenon that is co-produced by various actors rather than originating in an isolated initiative. Second, it highlights how the social systems or contexts of TSI are characterized by dominating structures that tend to become inert over time. Third, and crucial to our topic, it theorizes that the collapse and crisis of these dominating structures is the precondition or breeding ground for TSI initiatives to emerge (and subsequently gain momentum and coherence in the reorganization phase). Fourth, the model considers the crisis and TSI emergence as passing phases in ongoing change processes. This meets various calls for process theories

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of TSI (Refs.). Fifth, the very infinity loop form of the model sheds a surprising new light on the idea of ‘TSI emergence through crisis’: The crises in turn emerge through the institutionalization and becoming inert of what in an earlier phase emerged as TSI.

As is inevitable considering the simplicity of the model and the observed diversity of TSI phenomena (Jørgensen et al. 2015), several aspects of the adaptive cycle can be questioned on theoretical grounds – the cycle-idea as such, for example. This paper is rather aimed to provide empirical validation of some of its propositions, however, and especially with regard to what is known as the ‘back loop’ in the adaptive cycle – the ‘release’ and ‘reorganization’ phases. The challenge is therefore to single out the most salient adaptive cycle insights on ‘TSI emergence through crisis’ and to formulate propositions that can be verified/falsified<sup>21</sup> for a broad diversity of cases.

Three ‘adaptive cycle’ insights to be validated empirically<sup>22</sup> are:

- *“TSI initiatives emerge in the ‘release’ phase, i.e. as dominant institutions in the particular societal domain undergo crisis or collapse.”*
- *“TSI initiatives are fuelled/empowered by resources released/becoming available in crisis periods.”*
- *“TSI initiatives have tendency to move from the reorganization towards the exploitation and conservation phases.”*

Having identified the key insights and propositions meriting validation, it remains a challenge of course to organize the empirical analysis of the relatively abstract systems-theoretical statements. The next section specifies the data deployed and the main methodological choices made.

## 2 Method: Comparing transnational TSI networks

This larger-N study is to validate the ‘release and reorganization’ propositions distilled in the previous section. This meta-analysis will draw on 20 case studies on transnational TSI networks, conducted in various European and Latin American countries. These networks undertake and promote transformative social innovation in various societal domains, led by diverse narratives of change and responding to various game-changing events<sup>23</sup> (Jørgensen et al. 2015; Wittmayer 2015). The cases comprising a broad variety of innovation attempts and social-political contexts, they can be considered to cover much of the diversity of TSI and thus allow for credible validation of the propositions.

As mentioned, this validation is methodologically challenging however, in several respects.

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<sup>21</sup> The falsification strategy forces us into the creative process of considering what kind of TSI evidence would contradict the so persuasive but loosely described account of the release-reorganization process. It’s not about falsification per se.

<sup>22</sup> Even assuming only N=20 cases – not differentiating the therein contained network level and 2 local initiatives from each other -, three basic questions lead to 60 observations. Considering further that we need some degree of qualitatively detailed analysis, 3 questions per case seems about the maximum we could handle. Maybe we better focus on just 1 proposition?

<sup>23</sup> NB Our case selection has been informed by game-changing, so there are selection effects to consider and account for.

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1. **Temporal scope.** All twenty cases can be compared as processes, as sequences of events. This helps to compare the cases with the adaptive cycle account of TSI processes. Still there is a discrepancy between the apparently long-term timeline of the adaptive cycle, and the temporal scope of our case studies. Full adaptive cycles, including institutionalization and inertia of earlier transformative social innovation, are impossible to reconstruct. The majority of case studies comprise only 1-2 decades, and involve mainly the 'back loop' phases of release and reorganization. *The data gathered thus allow to analyse the release & reorganization phases, but not the adaptive cycle model as a whole.*
2. **Units of analysis.** The systems-theoretical perspective that generated the insights on release and reorganization is typically less clear about the units of analysis presupposed. The data on the TSI networks has been gathered under the assumption of embedded units analysis: All case studies addressed transnational networks, 2 local manifestations in different countries, actors with whom these local manifestations interacted, and actors who formed these local manifestations. In this study, the local manifestations seem to be the most relevant level of agency to consider, but it could be worthwhile to see the differences between local manifestations and transnational networks.
3. **Theoretical Focus.** The case studies have not been guided by the adaptive cycle framework. The data gathered does include key topics such the occurrence of game-changing events, narratives and theories of change, the emergence of TSI initiatives and their interactions with wider society, to be sure. Still, the cases have typically followed the TSI networks as focal agents, rather than assuming the more synoptic, systems-theoretical view presupposed by the adaptive cycle. The validation exercise involves considerable re-interpretation of gathered data.
4. **Quali-quantitative analysis.** The ambition for larger-N validation of (elements from) the adaptive cycle model implies a methodological tension between the aim for testing and objectification, and the awareness that the very cyclical model expresses an evolutionary complexity that seems essential to the TSI phenomenon. There is a need for qualitative detail in the larger-N analysis. This means that a mixed quali-quantitative approach is most appropriate. Beyond the initial consideration of affirmative or negative observations on the 3 propositions, the analysis should also distinguish a broader range of observations.

It is of course crucial to operationalize the 'adaptive cycle' portrayal of TSI emergence-through-crisis into pertinent propositions, and to make them testable by empirical observations from our case studies. We've just started with the first part.

## 4 Analysis: validating the release-reorganization statements

Largely follows from method section 3 and the operationalization. We'll need to keep analysis simple, i.e. question the N=20 for the max. 3 easy to verify questions, established

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in section 2. The analysis could be conducted stepwise: First consideration of the most basic quantifiable, Yes/No questions, then trying to refine.

## 5 Conclusion: Reconsidering release & reorganization

Follows from empirical analysis. We provide validating meta-insights on the release & reorganization propositions, and therewith on the relation TSI <-> crisis. This will automatically address the two D3.2 propositions indicated in section 2.

The conclusion title alliterates well, but it remains of course to be seen whether and how these R & R or 'back loop' ideas can be reconsidered.

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## 3.4 Research relations in TRANSIT

<b>Title:</b>	Research relations in researching transformative social innovation
<b>Authors:</b>	Julia Wittmayer, Flor Avelino, Iris Kunze, Gyorgy Pataki, Noel Longhurst, Tom Bauler, Michael Søggaard Jørgensen, Adina Dumitru (to be confirmed)
<b>Timeline:</b>	Journal submission in 2016



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**Target journal(s):** IST 2016 conference; Target journal to be decided, possibly Ecological Economics

## Extended abstract:

### 1 Introduction: Establishing the practical/research challenge

There is an increasing attention for ‘social innovation’ as a necessary driver for societal transformation. In its broadest sense, social innovations are considered to be social in both their ends and their means (Hubert et al. 2010). More specifically a social innovation is considered to be new social relations (Mouleart et al. 2013) or a “*new combination (...) of social practices in certain areas of action or social contexts prompted by certain actors or constellations of actors*” (Howaldt and Kopp 2012:47). Social innovations are believed to provide answers to challenges our societies are facing, whether of ecologic nature such as the depletion of resources or anthropogenic climate change, or of social nature such as poverty or inequality. The field of social innovation research is emerging with its roots in different (inter)disciplines with different theoretical perspectives (Westley 2013, Howaldt and Schwarz 2010, Moulaert et al. 2013). With a surging national and international policy and research interest in the subject, the need for a common vocabulary and a community of scholars increases (Hochgerner et al. 2011).

Reflexivity inevitable is part of the growth of a research field. It is necessary to more closely examine the whole range of available ontologies, epistemologies and axiologies – which provide different perspectives on social innovation. While ontology (what is out there) and epistemology (how do we know) are often discussed in relation to research designs, what is left open or implicit are the normative, ethical or philosophical considerations of the researcher or research team. The latter is also referred to as axiology, according to Dillon and Wals (2006: 550) it relates to “*ethical considerations and our own philosophical viewpoints (the why)—such as, do we take a positivistic stance, use feminist epistemologies, involve participants as researchers?*”.

Research on social innovation arguably attracts researchers who are interested in alternatives for the current status quo, in exploring future societal pathways, are engaged in activist practices and/or who aim to address real-life problems through their research. These kinds of interests and considerations do inform what researchers study and how they study it (i.e. their epistemological choices). More often than not, these axiological considerations have to interact and collide with funding schemes, institutional requirements and career opportunities. Axiological questions and accompanying tensions are eminent not only for the research of social innovation but also for research streams such as sustainability science, sustainability transitions, resilience studies or ecological economics.

This paper explores the tensions and challenges which arise in the interaction of the ambitions of individual researchers, the ambitions of (re-)emerging research modes (such as transdisciplinary research, action research, participatory research, transformative research) and the broader institutional and cultural requirements of present-day science (such as funding schemes, resource availability). We do so by focusing on a specific aspect of a research endeavour: the way researchers and other actors relate to and interact with one another. We zoom in on this research relation, and how it is formed by the assumptions about what research is, how it should be performed and how it is given form in the face of institutional requirements. The main research question is: How are research relations/interactions formed and what are the challenges/tensions they deal with?

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## 2 Methods

This question is answered through a literature study and empirical research. For the literature review, we focused on writings from the fields of transdisciplinary research, action research, and mode-2 research to understand how the relations and interactions between researcher and other actors are conceptualised and how these relate to broader ideas about the relation between science and society. Empirically, we turn to a case of social innovation research, the EU-funded research project, TRANSIT and how researchers engaged in this project established relations with the actors in social innovation networks they were studying. We first examine the project context under which these research relations were formed based on project documentation and own experience from being involved in the project. We then zoom in on how three specific research relations are given form and which challenges were encountered. It concerns the relations between a specific TRANSIT researcher and social innovation actors from one of the local manifestations of the Global Ecovillage Network, the Impact Hub and the Transitions Towns Movement.

## 3 Analysis/comparative observations:

For each of the three papers, we draw up data along the following questions:

- Short description of the social innovation initiative/network
- Considerations of the ideal researcher-research relation (ethical, normative or philosophical considerations) and previous experiences of the researcher
- How did the research interaction take form?
  - Previous contact? Which form?
  - How did the researcher gain access, gather data, relate to the people?
  - Did the research make a (practical or otherwise) difference to the network?
- What were the challenges in negotiating this interaction/relation?

We present that data for each case along these questions.

## 4 Discussion and Conclusions

In the discussion and conclusion section, we identify and discuss a number of overarching challenges based on the empirical data, namely: Research subject vs. Research object; Normativity vs. Neutrality (OR Subjectivity vs. Objectivity); Proximity vs. Distance; Reciprocity vs. Market exchange; Practical realization and Legitimacy/Accountability. Based on the discussion of these challenges we draw lessons and formulate recommendations for researchers with regard to the research interaction as well as in drawing up research designs.

## 3.5 Narratives in social innovation networks

**Title:** Narratives of change: How Social Innovation Initiatives engage with their transformative ambitions

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## 1. Introduction

Social innovation is *en vogue*. Both public and scientific discourses herald its effectiveness in dealing with current societal challenges and flatter its ability to bring about desired changes. Former EU president Barroso, for example, stated that “*if encouraged and valued, social innovation can bring immediate solutions to the pressing social issues citizens are confronted with*” (Hubert 2012:vi) and the Bureau of European Policy Advisors (BEPA) argues that social innovations provides an effective way to ‘empower people’ and ‘drive societal change’: “*at a time of major budgetary constraints, social innovation is an effective way of responding to social challenges, by mobilising people’s creativity to develop solutions and make better use of scarce resources*” (BEPA 2010: 7).

Social innovation initiatives come in innumerable forms and sizes, usually tailored to a particular context or fit for a certain issue. Like the grand policy narrative outlined above, these initiatives have their own theories about what is at stake and how change can be brought about. While some, for example, hold the idea that it is through reconnecting with communities and localities that our world will become a better place, others focus more on the necessity of institutional change. Further, the explicit reflection on such theories of change may be more or less central to an initiative’s activities.

In this paper, we approach these ideas about transformative change as ‘narratives of change’, broadly defined as sets of ideas, concepts, metaphors, discourses or story-lines about change and innovation. Such narratives of change shared by social innovation initiatives reveal, amongst others, ideas about why the world has to change, who has the power to do so and how this can be done. Such storylines about change may be formal or informal, uniform or inconsistent across participants. More often than not, social innovation initiatives play on the ability of words to convince individuals, unite groups, frame reality and evoke imagination: stories do not simply recount experiences but open up novel ways of looking at things and new possibilities for action. They reflect and at the same time create reality (Davies, 2002) and are “*drawn from social, cultural and, perhaps, unconscious imperatives, which [they] at the same time reveal*” (Andrews et al. 2003: 8). For these reasons, stories play an instrumental role for many social innovation initiatives in challenging and confronting dominant norms, values and beliefs and in devising alternative futures. By using a narrative approach to study theories of change, we aim to gain insight into the theories of change around which social innovation initiatives organise. As such our main research question is: What are the ideas and stories about how the world changes (“narratives of change”) of social innovation initiatives, how are these narratives conceived, and what is their (perceived) role within societal change processes?

Narratives of change can be considered part and parcel of social innovations, defined as “*change in social relations, involving new ways of doing, organising, framing and/or knowing*” (Haxeltine et al. 2015: 16; cf. Moulaert et al. 2013, Howaldt and Knopp 2012) in at least two ways. First, narratives of change convey alternative ways of doing, organising, framing and/or knowing, and they promote social relations supporting these. Second, they not only convey but also constitute alternative ways of framing the world. We argue that ‘narratives of change’, as (shared) ideas on how change can be brought about, make for a relevant and interesting object of enquiry en route to a better understanding of transformative change. Many initiatives aspire to contribute to transformative change, and these aspirations inspire actual projects and activities. Gaining insight into how such aspirations are created and shared contributes to our understanding of how social

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change is driven. As such, unravelling the narratives of change of social innovation initiatives draws us into their understanding of the world and helps questioning and elaborating our own scientific theories of change and innovation.

## Methods

Based on a review of relevant literature on narratives and narrative analysis we outline a method that allows to capture ideas about transformative change in narrative terms. Empirically, we draw on interim outcomes of the EU-funded research project entitled “TRANSformative Social Innovation Theory” (TRANSIT; 2014-2017). This project aims to build a theory of transformative social innovation studying the ways in which social innovation initiatives interact with other forms of (transformative) change (Haxeltine et al. 2013, 2015, Avelino et al. 2014, Pel and Bauler 2014). TRANSIT includes the study of social innovation initiatives, namely social innovation networks and their local initiatives which (1) represent transnational networks operating across Europe and Latin-America, (2) work on social innovations, and (3) have transformative ambitions and potentials, hence allowing for a cross-national and cross-regional empirical analysis of social innovation in relation to transformative change.

### *Textbox 1. Introducing three social innovation initiatives*

**Innovators for the Public (Ashoka)** is a global organisation with operations in 37 countries worldwide. Since 1980, Ashoka is carefully identifying and selecting high-profile social entrepreneurs who become Ashoka fellows and thereby gain access to funding and the Ashoka network. By now there are around 3000 Ashoka fellows in 70 countries. Through continuous innovation in its organization, programs and the playing field, Ashoka currently aims at catalyzing societal change by equipping people with system-changing potential with the required changemaker skills, resources & networks.

The **Global Ecovillage Network (GEN)** is a global grassroots network of more than 500 ecovillages grown out of the eco-movement and increasingly includes traditional villages. Besides the global network, it includes five regional networks (Europe, Africa, Asia/Oceania, North America and Latin America) and several national networks. GEN promotes social, economic and spiritual aspects of sustainable living and encourages local community empowerment for regenerating social and natural environments. Its members meet at annual conferences, interactive internet platforms and educational events.

Founded in 1997, **RIPESS (Réseau Intercontinental de Promotion de l'économie Sociale Solidaire)** is an intercontinental network set to promote the 'social solidarity economy'. Aiming for alternative forms of economic relations, the network seeks to empower civil society actors, aims to alter the prevailing relations between governance actors and 'institutional logics', and to better meet social needs than is done by present social constellations. It does so through promoting and slightly reinventing alternative yet well-known institutional models (cooperatives, associations, networks). Next to and often complementary to these longer-existing models, there are also new practices and models developed and promoted (e.g. alternative forms of finance or employment such as sheltered workspaces, various co-financing schemes, and forms of sharing economy). RIPESS aims for structural and worldwide change in the existing economical or

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In this paper, we focus on three of these networks, namely (1) Ashoka - a global network of social entrepreneurs; (2) the Global Ecovillage Network - a network of ecological intentional communities, and (3) RIPESS - a network of networks and political movement for the promotion of solidarity economy across the globe (see Textbox 1 for an overall introduction of the cases). Our assumption is that these cases show a maximum variation (cf. Flyvberg 2006) in terms of their narratives of change. For these cases, we distinguish between different kinds of narratives of change, namely 1) local narratives of change (narratives of change on the level of the local initiative), 2) network narratives of change (narratives of change on the level of the network) and 3) societal narratives of change (narratives of change on the level of society, e.g. social economy). We thus acknowledge that each local initiative has its own narrative and that even within one initiative or network narratives might diverge. The main focus in this paper is on the master-narratives at the level of networks. For the reconstruction of the narratives of change of these three networks, we relied on data that was gathered through interviews, participant observation and document review as part of the TRANSIT focus on transformative social innovation.

## Structure of the paper

The following section discusses relevant literature on narratives and narrative analysis and forms the basis of a method for reconstructing and analysing narratives of change. In section 3, we reconstruct and analyse the narratives of Ashoka, the Global Ecovillage Network (GEN) and the Intercontinental Network for the Promotion of Social Solidarity Economy (RIPESS). Our analysis focuses on the content of their narratives of change, including the context (why is change considered necessary?), actors (who is or should be driving change?) and plot (how is change occurring?). We then move on to dissect the ways in which narratives of change are produced and discuss how and to what extent narratives are seen to play a role in transforming the world before we conclude the paper (section 4).

## 2. Narratives of change – a literature review

Narrative research is a broad interdisciplinary field with a number of schools based on different ontological and epistemological assumptions. For the task at hand, we take a constructivist approach to narrative analysis because it allows tracing the social production and exploring the role of narratives in societal change processes beyond the straightforward analysis of narrative content. The aim of this review section is twofold: first, we review existing literature and second, we establish a method for reconstructing and analysing narratives of change. We cluster the review along the three parts of our research question: 1) narrative content, 2) social production of narratives and 3) their role in social change processes.

Our working definition of narratives of change as ‘sets of ideas, concepts, metaphors, discourses or story-lines about change and innovation’ subsumes different linguistic devices. Like this, we purposively stay open to other understandings of discourses and narratives. As put by Davies (2002: 11): *“the boundary between narrative and other forms of discourse is simply not sharply marked off. Features characteristic of narrative, such as temporal sequencing, change and closure may be found in other discursive forms (a sonnet, for instance, or an essay) and stories may be found that lack key narrative features”*. While Davies refers to narratives as a form of discourse, Hajer (1995: 56) posits that discourses are *“a generative sort of narrative that allows actors to draw upon various discursive categories to give meaning to specific physical or social phenomena. The key function of story-lines is that they suggest unity in the bewildering variety of separate discursive*

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*component parts of a problem*". He defines a discourse as "*a specific ensemble of ideas, concepts, and categorizations that are produced, reproduced, and transformed in a particular set of practices and through which meaning is given to physical and social realities*" (ibid: 44). Building on these somewhat contradictory definitions, we consider narratives of change to be a particular discursive form which positions actors in a context and orders events or activities in (temporal) sequence towards a goal or future.

## **2.1. The content of narratives of change: context, actors, plot**

We use the concept of narratives of change to get a sense of how social innovation initiatives perceive (changes of) the world and their own role therein. As such, we are interested in the content of their stories about change. Researchers have distinguished different elements of narratives to be considered in a content analysis. By way of example, Fischer (2003, building on Burke 1945) suggests to distinguish agents, act, scene, agency and purpose. Studying these allows us to answer the following questions: Who does what, when and where? How was it done? And why? Altering this for our purposes of analysing narratives of change, we suggest that important elements are: 1) how is the status-quo and a desired goal/future to-be described (context), 2) who is considered to be involved in changes (actors) and 3) how is change occurring (plot).

### **Context in narratives**

As suggested above and elsewhere (cf. Benford & Snow 2000), narratives have a role to play in sense making and the construction of meaning. Frames have been presented as 'simple narratives' which outline problems, diagnose causes and suggest solutions (Roe 1994). Narratives of change can be considered to contain such simpler narratives, or narratives within narratives, describing undesirable developments in the past, problematic present situations as well as attractive future scenarios. In other words, narratives describe past, current as well as future states and position them in space (where) and time (when). Thereby, the scene it set and justification is delivered for the activities carried out by various actors, including the social innovation initiatives.

### **Actors in narratives**

We take actors to be agents that perform acts – these can be human or non-human. Analysing actors in narratives allows an understanding of who engages in activities furthering or hindering desired societal change. In narrative analysis, we can distinguish between actors, the roles that are ascribed to them and how they are represented. An analysis of power relations in societal change processes by Avelino and Wittmayer (forthcoming) is based on the following actor categorisation: firstly, actors are clustered according to the following sectors: government, market, community or Third Sector and secondly, actors are considered at different levels of aggregation: sectors (as outlined), individual (e.g. social entrepreneur, citizen) or organizational actors (e.g. firm, municipality). This distinction proved useful and informs the analysis of actor types occurring in the narratives discussed here.

While actors are referred to in different roles, such as citizen, they also play a particular part in the actual narrative, e.g. protagonist, supporter, antagonist, beneficiary, powerholder (cf. Greimas narratological model in Basten 2012). Actor roles can also be described in terms of cultural archetypes, such as hero, anti-hero, and underdog. In terms of representation, Basten (2012) suggests to distinguish between round and flat characters, where round characters are represented as complex, with nuances and capable of learning, while flat characters are simple,

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stereotypical and strictly defined. In addition to actor types, the particular parts they play in the plot is considered in our analysis.

## Plot in narratives

With plot, we refer to the actual storyline: how do events and activities lead from the current to a future situation, i.e. the desired end-goal of actors' efforts described as a changed context. The plot is thus creating an element of sequencing – one of the main criteria of narratives. Generally speaking, *"narrative is taken to mean a sequence of events in time"* (Berger 1997, quoted in Andrews et al. 2003: 3) and contingency is a *"fundamental criterion of narrative"* as *"stories demand the consequential linking of events or ideas"* (Salmon and Riessman 2008: 78). Narratives provide important devices for ordering temporal sequences, which has been argued to be an important source of agency and reflexivity, i.e. the capacity of *"breaking with the dominance of the past over the future"*<sup>24</sup> (Lissandrello & Grin 2011, citing Beck et al. 2003:12). The plot, in other words, describes how current givens are or can be challenged and transformed including a different set of social relations involving new understandings, practices and institutions. This sequencing of events and activities occurs against the contextual setting (when and where) and explains how this setting is (to be) changed.

## 2.2. The social production of narratives

A constructivist approach to narratives implies understanding them as socially produced. It requires paying attention to the socio-cultural context and structural conditions, as well as the actual interaction through which a narrative is produced. In the 'social interaction approach' to narrative analysis, narrative accounts are contingent on time, space, interlocutors, previous talk and action. As such they are momentous co-constructions of narrators and audience. Narratives are considered relatively stable and habitual and, at the same time, emergent and situational responses in a given setting. Thus, narratives cannot be abstracted from their context (neither from the immediate social nor from the wider societal) and are always attached to broader discourse activity (De Fina and Georgakopoulou 2008a).

The epistemological challenge, then, is that all narrative data is situational and interactional. Ideally, narrative analysis shifts reflexively between the local micro-context and the 'master narrative' recurring across a variety of contexts (De Fina and Georgakopoulou 2008b). Following this view, our focus on 'theories of change' shared by collaborating social innovation actors requires examining the 'master narrative' that we find articulated in various forms (oral, written, or in (moving) images) and at different instances. Although different narrators, settings, media and audiences impact on the content, delivery and reception of stories, overarching storylines emerge that are sufficiently coherent for analysis.

## 2.3. The role of narratives in social change processes

Narratives can be understood as stories about and productions of social life (Davies 2002). They draw upon and contribute to a variety of social macro-processes, such as the legitimisation of

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<sup>24</sup> The notion of breaking with the dominance of the past over the future does not imply that some (or many) initiatives do not aim to preserve current or even reinstate past social relations. It does, however, capture the practical relevance and performativity of narratives of change in imagining a different, more desirable future (see also section 2.3 The role of narratives in social change processes).

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knowledge or action, *“the inclusion or exclusion of social groups, the enactment of institutional routines, the perpetration of social roles, etc.”* (De Fina and Georgakopoulou 2008a: 382). Broadly speaking, literature distinguishes between three different (albeit related) roles that narratives can play in social change processes: narratives 1) trigger imagination, 2) are expressions of (counter) cultures and 3) are resources for empowerment.

Telling narratives about the past, means tapping into as well as transforming cultural and individual memory. Most work on narratives focuses on the past (biographical) or present (experience, meaning), with an emerging focus on the future. Such narratives about the future evoke imagination, invite us to think ‘from what is to what if’ (cf. Sools 2012) or ‘what next might happen’ (Shotter and Katz 2004 in Sools 2012) – as such they help to open the black box of what we think is possible. Narratives have the capability to extend a given culture, its norms and restrictions and as such are crucial for creative potential and *“the most powerful device to subjunctivize the world”* (Brockmeier 2009: 228). Practicing agency through narrative imagination means probing one’s *“action possibilities”* (Holzkamp in ibid: 227) and to open up to the *“hypothetical, the possible, and the actual”* (ibid: 228). Narrative imagination is then a fundamentally social enterprise. Drawing on Iser, Brockmeier (2009: 228) asserts: *“The point of narrative fiction in this context is that it articulates the human capability to permanently undermine cultural norms and restrictions. It demonstrates that the mind interprets meanings as possibilities of action that reach beyond its own limits”*.

Connecting narratives to the broader context and societal change, Wilce jr. (2007: 123) argues that *“culture shapes the narratives in which the self emerges. Yet culture is process. Cultures have always been in motion, and narrative facilitates this movement”*. Thus the narratives created by social innovation actors about the world that they live in as well as the ways in which these are constructed are deeply informed by the cultural values and assumptions that they at the same time reveal. However, this quote also points to the role that narratives can play in social change processes. Changes in stories at a specific level have consequences for stories at another level. As argued by Rappaport (1995: 796) *“the narrative approach spans levels of analysis. It explicitly recognizes that communities, organizations and individual people have stories, and that there is a mutual influence process between these community, organizational, and personal stories”*. By developing and sharing their narratives, social innovation actors connect their work to the broader context and engage in (co-)creating societal narratives. In this vein, Davies (2002: 25) talks about ‘counter-narratives’ as instrument through which social movements *“struggle against pre-existing cultural and institutional narratives and the structures of meaning and power they convey”*. Counter-narratives in this understanding *“modify existing beliefs and symbols and their resonance comes from their appeal to values and expectations that people already hold”* (idem) – as such they also appeal to human imagination.

This imagination can be understood as a *“form and practice of human agency”* (Brockmeier 2009: 227). Especially, researchers focusing on personal experience and sense making see narratives as *“ways of expressing and building personal identity and agency”* (Squire et al. 2008). According to Hall (1982), movement actors – to which social innovators can be counted – are deeply involved in *“the politics of signification”*, i.e. the production and maintenance of meaning. Following this, narratives can be viewed as resources and as tools for individual and collective empowerment. As put by Rappaport (1995: 796): *“we are led to help people to discover their own stories, create new ones, and develop settings that make such activities possible – all activities consistent with the goals*



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of empowerment". Empowerment is enhanced when personal life stories are sustained by the collective narrative and vice versa (cf. Davies 2002; Riessman 2008, Rappaport 1995).

## 2.4. A method for reconstructing and analyzing narratives

Our assumption is that through narratives of change of social innovation initiatives we gain insights into their ideas about why the world has to change, who has the power to do so and how this can be done. As such, our main interest lays in particular elements of narrative content, namely context described (lending purpose to actors' activities), actors involved and the plot (how activities unfold). Being aware of the power and performativity of storytelling, we also enquire into the narrative practices, i.e. the production of narratives, in the different initiatives and into the role social innovation actors themselves accredit to stories they share.

Based on the literature review, we suggest a method for reconstructing and analysing narratives of change of social innovation actors including their production and their alleged role in change processes. Not every narrative of change might display all the elements of the method; there is the possibility that only fragments exist. For each element of the method we suggest a number of empirical questions as outlined in Table 1.

**Table 1: Method for reconstructing and analysing narratives of change**

<b>(1) Content of narratives</b>	
Context <i>Why?</i> <i>(When?)</i> <i>(Where?)</i>	How is the context constructed in the NoC under study? <ul style="list-style-type: none"><li>- What past and current problems and societal challenges are framed in the NoC?</li><li>- What desired future or goal is described, lending purpose to proposed actions?</li></ul>
Actors <i>Who?</i>	How are actors constructed in the NoC under study? <ul style="list-style-type: none"><li>- Who are the individual, organisational and sector-level actors driving and/or hindering change?</li></ul>
Plot <i>How?</i>	How is the social change process said to unfold in the NoC under study? <ul style="list-style-type: none"><li>- What events, experiences or activities lead to the desired future and in what sequence?</li><li>- Which activities by the initiative and other actors are driving and/or hindering change?</li></ul>
<b>(2) Role of narratives</b>	
How is the role of narratives in general and specifically in social change processes perceived? <ul style="list-style-type: none"><li>- What role do social innovation actors ascribe to the narrative they share and narratives of others?</li></ul>	
<b>(3) Production of narratives</b>	
How were/are the NoC's under study produced? <ul style="list-style-type: none"><li>- What kind of ideas, concepts, metaphors or discourses are included or alluded to in the narrative? (Is the concept of "social innovation" used explicitly?)</li><li>- What visual aids are used to support ideas, concepts or metaphors used?</li><li>- What kind of narrative practices does the initiative engage in?</li><li>- How central are narrative practices to the activities of the SI-initiative?</li></ul>	

On the basis of the suggested method, we reconstructed the 'master narratives' (cf. De Fina and Georgakopoulou 2008b) of the narratives of change of Ashoka, GEN and RIPESS on the network

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level (see Appendix 1-3). We thus focus on the most commonly found narratives across the network and compare these along the main elements of the method.

## ***3. The Narratives of Change of Ashoka, Global Ecovillage Network and RIPESS***

Using the method, we can analyse the narratives of change of Ashoka, GEN and RIPESS (see Appendix 1-3 for the full narratives) in terms of their content, the role narratives play for the SI-initiative and their production.

### **3.1. Content of narratives of change: context, actor and plot**

The narratives of change by RIPESS, Ashoka and GEN show a very different understanding of how the world changes. **RIPESS'** narrative describes the world as struggle for dominance, where the underdogs (in this case various concepts of a social solidarity economy) have to unite to challenge and overcome the adversary (the neo-liberal economy and world order). This is a political framing, showing a strong favour for collectivism and collective action. The state and governmental actors are seen as powerful actors who can be an ally. **Ashoka**, on the other hand, perceives the world as constantly changing with increasing speed. Therefore, it sees the need to equip people with skills to deal with this constant change (which is considered neither good nor bad). In this process, solutions are said to emerge for some problems that are well-known and for others that are only beginning to be understood. In their understanding, an individual – empowered through the right skills, network and (financial) support – can make the world a better place. The market is seen as an ally for the social entrepreneur, while needed systemic changes are part of the realm of the state. For **GEN**, the change starts with personal change by the individual within a supporting community. There is a strong focus on 'being the change you want to see in the world', starting with oneself and one's community, including daily lifestyle and spiritual growth. The underlying philosophy is an explicitly holistic one, where body and mind, society and planet, are seen as inextricably intertwined, thus making it inherently impossible to 'heal' one without 'healing' the other as well. As such, the approach to change is one of building new communities from scratch, based on a holistic life philosophy. It is also generally believed that such holistic communities can give rise to alternative markets (based on e.g. 'gift economy') and alternative government structures (based on e.g. 'sociocracy') which could and should alter existing markets and governments.

#### ***Defining contextual problems vs. pointing out activity areas***

RIPESS' narrative has a quite distinct framing of the current context regarding the detrimental consequences of economic globalization and the neoliberal world order. The narrative by GEN also describes developments that are considered problematic, namely human alienation from nature and overly anonymous, technocratic and system-dominated societies. Ashoka however, refrains from a specific problem framing and focuses on supporting changemaker activities in general domains that are considered to require attention, such as education or health. Overall, it appears that Ashoka focuses more on solutions than on problems and offers a more optimistic perspective on current state of affairs.

In any case, contexts described or activity areas defined, both justify and lend purpose to the networks' activities. RIPESS aims leveraging out the alleged 'natural laws' of the current economic

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system by experimenting with and showcasing liveable alternatives. GEN does not believe in waiting for governmental action and instead promotes the design and implementation of pathways to a sustainable future by empowered individuals and communities. The narrative of change that the GEN is referring to is at the same time their action strategy: to build a network of resilient communities that is not easily affected or hit by negative developments of the macrosystems. They prefer to rely on 'human-scale' systems, because they can overlook, design and influence them. Ashoka focuses on individual changemakers that find bold and ingenious solutions to problems that may only be on the verge of shaping up and not clearly defined yet. Although the network establishes problem areas that need addressing, it trusts the intuition and capacity of the individual to find a way to see problems that lead to "out of the box" solutions.

## ***Primacy of specific actors: the individual vs. the collective***

Ashoka focuses on individuals as social entrepreneurs and changemakers. In this narrative, other actors (whether individual ones such as experts or advisors or organisations such as universities or foundations) serve as support for the social entrepreneur in finding solutions. The focus is on the achievement of the individual: even after Ashoka changed their narrative to focus on 'everyone a changemaker' (as opposed to the one-in-a-million individual), this 'everyone' is still *every individual*. The GEN narrative zooms in on the individual and its personal needs and desires that ought to be met sustainably. The narrative pays equal attention to the community that requires commitment and contributions by every individual but also exists to support the individual on its path to inner transformation. RIPESS on the other hand, focuses mainly on (regional, continental, international) networks as uniting different forms and actors of a worldwide social solidarity economy. It also includes collective actors such as groups of citizens, Third sector organizations and socially responsible government (by exception social entrepreneurs or ethical banking) who practice the solidarity economy. As such, RIPESS is focused much more on collective and institutional actors.

## ***Plotting the change: getting from "here" to "there"***

The strategies for change that feature in the different narratives follow from the contexts defined and the actors identified. In that sense, the three narratives of change are coherent and outline approaches that involve proving established systems wrong (RIPESS), practicing alternative habits (GEN) and implementing tailor-made solutions (Ashoka). Therefore, Ashoka's narrative revolves around building an enabling environment for the social entrepreneur. RIPESS argues for experimenting with a variety of alternative forms of social solidarity economy who unite vis-à-vis the established market order. GEN advocates inner, individual healing and strong communities who collectively and everyday practice sustainable living on the ground.

These diverging change strategies plotted in the three narratives translate to varying dissemination activities which shows how narrative assumptions impact on actual activities: while RIPESS carries its ambition to foster broad political debate into the media and lobbies with international governance institutions, Ashoka aims to showcase and celebrate the successful entrepreneurial changemaker by delivering public speeches. GEN stresses that ecovillages cannot be 'islands' but need to facilitate change in the social and regional context, mostly by hosting meetings and educational events that enable citizens from across the world to experience ecovillage life and to witness first-hand that an alternative community life is possible.

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In terms of time frames across which changes are said to unfold, all three narratives focus on the necessity to act now for a desired future. Time and ongoing change processes feature quite differently in the three narratives, however. While Ashoka considers the world to be in constant flux and holds the belief that times of unprecedented change are yet to come, GEN and RIPESS consider current systems to be static, yet leading to undesired environmental changes. For Ashoka the only way to impact on the change that is upon us is training everyone to be a changemaker and to engage in ongoing innovation because social systems are currently too slow to adapt to our changing environment. GEN emphasises the need to start building alternative pathways in the present that, amongst other, incorporate and reinvent past sustainable practices (e.g. handicraft skills), so as to enable a sustainable and radically different future. Intergenerational learning is an important aspect for doing so.

A commonality of all three narratives is the central role of networking in achieving change. This observation has a methodological reason because all three cases include social innovation initiatives that consist of global networks and local manifestations. It is, however, striking how much emphasis is paid to the importance and power of networking. For GEN empowered individuals in intentional communities profit from global exchange that goes beyond the place-bound practices. Ashoka views networked support for the individual social entrepreneur as crucial for success and RIPESS organises congresses for representatives of its various member networks to discuss shared values, principles and assumptions without streamlining these into a singular, shared vision.

## 3.2. The Production of Narratives of Change

Looking into the production of narratives, rather than only at their content, allows us to scrutinize how and to what extent the SI-initiatives reproduce and/or challenge the social context which they criticise as part of their narrative of change. Resonating with the literature that emphasizes the context-dependency of narrative practices, the practices around the production of theories of change in the three SI-initiatives follows the recipe of success suggested by the narrative itself. Thereby, the narratives draw from and at the same time create the context matching their activities.

RIPESS, who critiques individualistic and competition- and market-based economic principles on a number of issues, seeks to replace the hegemonic neoliberal paradigm with a variety of solidarity-based economic forms or variations. In line with this notion, RIPESS welcomes broad experimentation and attempts to involve everyone in the construction of central story lines. This process is particularly challenging because the networks involved in this umbrella network are rather diverse. To date, RIPESS lacks a centrally co-ordinated story and hosts a variety of views or 'theories of change'. It does, however, try to align or join forces between diverse and divided narratives by working collaboratively towards a shared perspective on alternative economies (cf. RIPESS 2015). The production of such a shared perspective is a joint activity. RIPESS is inclined towards direct democracy and truly shared declarations – taking into account that they are to represent a very broad set of networks and organisations, and should not reproduce the exclusive tendencies they criticise.

GEN typically makes use of community-led participatory methods and deliberation for shaping the narratives of the network, involving not only all regional networks, but also each ecovillage and each individual who is present at the network event at that time. Besides formalized general

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assembly meetings, network gatherings are typically characterised by a great deal of small-group discussions, one-on-one conversation, singing, meditation and dancing. These rituals are not only seen as necessary 'relaxation', but as intricate part of creating a shared vision and strategy. Core imagery of the GEN vision includes green environments, community life and the planet. The butterfly recurs in GEN's logos (See Figure 1), accompanied by the slogan "*if nothing ever changed, there would be no butterflies*" (GEN website 2015). The transmuted caterpillar captures the notion that change is possible, already occurs and requires collaboration just like the cells of the caterpillar need to cooperate to re-cluster and form the beautiful butterfly.

Figure 1. Logos of GEN and its regional networks, with a recurring images of the butterfly



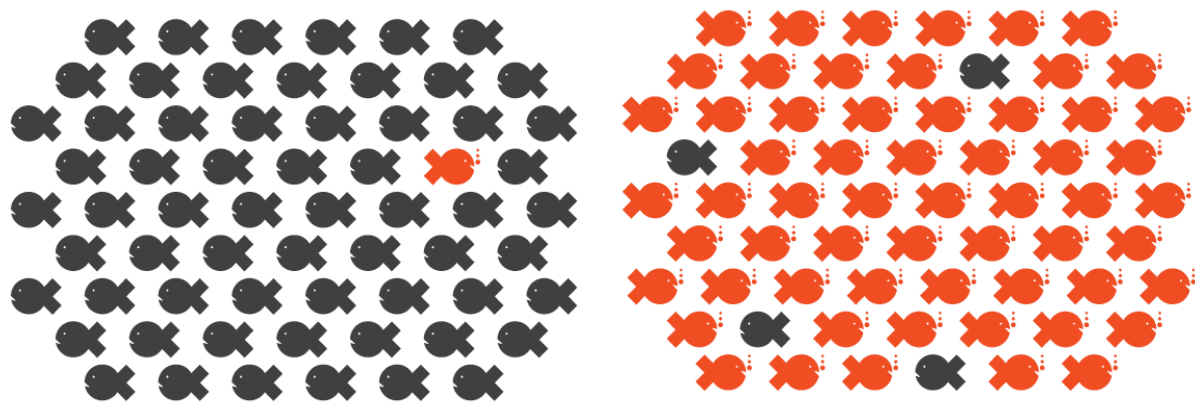
Ashoka focuses on individual social entrepreneurs with world-changing ideas and its central narrative is also predominantly lead-authored by a single individual, Bill Drayton, the CEO and founder of Ashoka. He developed key elements of the Ashoka narrative of change (such as the social entrepreneur as system changer carried by a network of fellow combatants supporting him in spirit or kind) which are then adopted by country offices worldwide. These central notions even outlived a significant reorientation of Ashoka's narrative and approach from the 'one-in-a-million social entrepreneur' to an 'everyone a changemaker' vision. For communicating their vision they also use images such as Figure 2. Other elements such as the notion of an "ecosystem for social innovation" that originated and has become particularly prevalent in Germany are constructed more locally.

In short, the networks' practices around the production of narrative elements such as concepts, storylines or images are inspired by or even in line with their ideas about how change is to come about: individually orchestrated or collectively performed. Which other actors are considered important for change to occur can be teased out by tracing the engagement strategies and communication outlets the different networks choose to spread and further their ideas.

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The **Ashoka** network produces a wealth of communication materials (e.g. reports, presentations, brochures, concept papers and articles), organises conferences and delivers public speeches. All of these efforts are focused on the discursive construction of the need for as well as the identity and role of social entrepreneurs and aim at the mobilisation of actors around this discourse. As outlined in the Ashoka Magazine: “We work on creating more understanding and support for social entrepreneurs in Germany [...]. We do this in the following way: Through the newsletter, presentations and at conferences we propagate the idea of social entrepreneurship and of self-determined engagement.” (Ashoka Germany Magazine 2013). Despite initial reactions of disbelief and ridicule, universities were also mobilised as key allies in the legitimization of the emerging social entrepreneurship discourse (Interviewee 2).

Figure 2. How do you know you have changed a system? (Source: Ashoka 2013)



The **GEN** also provides numerous communication materials (e.g. website, videos, books, brochures) and organises or attends meetings to explain its mission and approach. In line with the network's notion that change needs to be lived and experienced, conferences, summits, festivals, tours and courses are offered. During the latter, much attention is paid to the practice of storytelling, which is often explicitly used as a facilitation method.

**RIPESS** publishes regular newsletters and charters at four-yearly conferences aimed at facilitating exchange between different, otherwise fragmented, social movements and strengthening the awareness of their members for being part of a broader movement of a social solidarity economy. The political voice directed at the outside world is shaped through their website, contributions to political debates in the media, and scientific publications on the social solidarity-based economy (Hiez & Lavillunier 2013, Higelé & Lhuillier 2014, Kawano 2013). These publications provide political philosophy, ideological framing, evidence base and argumentations for the various activities implicitly or explicitly undertaken as solidarity-based or social economy.

The narrative practices of the different networks echo their theories of change. Ashoka celebrates the ingenious individual, determined to make a difference. Communication efforts aim to convince others of this notion and at the construction of a benevolent surrounding for social entrepreneurs or 'changemakers'. The GEN focuses on 'sharing the experience and best practices', a goal that nicely aligns with the organisation of gatherings and courses or workshops for the curious.

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## 3.3. The Roles of Narratives of Change

For all three SI-initiatives, narratives play a considerable role in their efforts to influence social change processes. For RIPESS it is a central element of their existence: they provide a narrative on social solidarity economy to align fragmented social movements. Ashoka promotes the narrative on 'social entrepreneurs' and Ashoka Germany, which is very involved on the European level, came to understand 'framework change', i.e. altering how people perceive the world as their main activity. Finally, for GEN, the creation of 'a new story' for alternative community living is at the heart of its core mission.

The three SI-initiatives do however differ in the functions that they ascribe to their narratives. For RIPESS, their narrative is a counter-narrative (cf. Davies 2002) directed to break the hegemony of neoliberal ideology, which is considered the key problem. The lack of solidarity economy, in other words, is attributed partly to discursive structures and dominant beliefs – to which political voice and alternative discourses are necessary remedies. As illustrated in their Global Vision: *"It is very common for the social economy to be conflated with the solidarity economy. They are not the same thing and the implications of equating them are rather profound. The social economy is commonly understood as part of a "third sector" of the economy, complementing the "first sector" (private/profit-oriented) and the "second sector" (public/planned). (...) The solidarity economy seeks to change the whole social/economic system and puts forth a different paradigm of development that upholds solidarity economy principles."* (RIPESS 2013). It is also the framing in terms of hegemonic and counter-hegemonic discourses that makes political parties like Podemos (Spain) and Syriza (Greece) and various "New Left" political movements interesting allies to RIPESS – more than many actors operating under the social innovation banner, which is considered to be at risk of reproducing prevalent entrepreneurial-productivist views on alternative social practices.

For GEN, on the other hand, narratives trigger imagination and open up a new possible future. An illustration of this is the New Story Summit (organised October 2014), focused on creating a new story, as communicated on the website of this event: *"As we change our story, we change our world. We humans find our way by story. Our stories shape us, hold us and give meaning to our lives. Every so often it becomes clear that a prevailing story is no longer serving. Now is such a time. If we do not create a positive, realistic picture of the future, we will not live into it. [...] This visibly accelerating disintegration of the story lived since the industrial revolution can feel overwhelming. Caught in this apparent helplessness, contemporary narratives of the future oscillate between blind denial and apocalyptic devastation. Neither will help us live the transformational Great Turning that is still - though maybe only just - within our grasp"* (Findhorn website). Next to an internal role, the narratives also serve to role of motivating the *"people on the ground in the single ecovillage who might often forget that they are part of a larger movement"* (Interviewee 4) and vice versa, the single narratives by different ecovillages are needed to promote solid stories of change, according to GEN president Kosha Joubert at the international GEN conference in 2015.

Finally, for Ashoka narratives are resources for empowerment in that they engage in producing and maintaining certain meanings (cf. Hall 1982). Ashoka claims to directly influence what stories people tell, or assumptions they hold, about how the world works and what the role and power of individuals is in changing it. Very specifically, they empowered the 'social entrepreneur' as a changemaker. The construction and invention of the latter identity is key to Ashoka: *"Social entrepreneurs have existed throughout history, but the identity is constructed. The historical achievement of Ashoka over thirty years is to have created an identity and a term for something that*

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*was happening in our societies, for something that has always been in our societies. You can look back over 100 years to Maria Montessori, for example; but then it happened accidentally” (Interviewee 1).*

The considerable role that the three SI-initiatives attach to narratives and discourses shows in their strategy for system change. All three SI-initiatives relate to broader societal narratives with regard to economic alternatives. They are involved in coining and developing the narratives on social entrepreneurship and the social economy (Ashoka), individual and community transformation and the construction of shadow systems (GEN) and the solidarity economy and economic globalisation (RIPESS). Especially RIPESS and GEN, but also Ashoka refer to general or global developments to provide justification and problem framing: neoliberalism, individualism or capitalism. Contextual macro-processes that narratives of change pick up on include social, cultural, environmental and economic developments. In doing so, justification and meaning is given to proposed change strategies and, at the same time, these grand societal discourses are strengthened. For example, RIPESS addresses relentlessly market failures and ethical implications of the current economic system, thereby challenging another prominent societal narrative, namely the “there is no alternative” story.

## 4. Conclusion

In this paper, we reconstructed and compared the narratives of change of three different SI-initiatives in terms of content, the processes through which narratives are formed or negotiated and their perceived role in social change processes. This analysis led to a number of insights into the theories of change of social innovation initiatives. In the following we highlight three of these insights as well as additional questions and challenges that emerged.

Firstly, the analysis shed light on the wide variety of narratives of change of social innovation networks. This obviously has methodological reasons, as we opted for a maximum variation in our case selection. However, it is also indicative of the highly diverse nature of the field of social innovation and in the ways that context (past developments, current situation and desired future), actors and plot (strategy and activities to arrive at the desired future) are framed. In fact, three ideal-type narratives emerged ranging from “Entrepreneurs will save the world” and “Dominant institutions need to be challenged” to “Communities rely on themselves”. Further empirical analysis could feed these master-narratives back to the social innovation networks and see how they resonate with individuals that are part of the network as well as with other or differently nuanced narratives that are prominent at the local, regional or global level of the network. Other analyses bearing interesting insight could focus on clusters of social innovation narratives. The narrative perspective helped in teasing out details that are easily overlooked when studying initiatives’ mission statements or action plans. For example, their understanding of the world as a “playground for entrepreneurs”, “a power imbalance between dominant and alternative economies” and “a beautiful setting for spiritual and sustainable communities” is revealed by studying how the context is depicted in their stories. In other words, structure and agency manifest themselves in the stories and each narrative recounts a different set of interactions that leads to transformation.

Secondly, a striking commonality has become apparent across the social innovation initiatives, namely the importance they accord to stories. Many of the initiatives are profoundly aware of the power of discourse and make ‘discourse shaping’ and the propagation of counter-narratives or



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future imaginaries strategically part of their activities. Additional research could tease out how narratives of different social innovation initiatives relate or interact, how notions travel between different scale levels (local, regional global) and how the networks' alternative narratives of change challenge dominant societal narratives. A central insight of this paper is that narratives of change disclose the assumptions social innovation initiatives hold about challenges societies are faced with, how the world needs to change and what their role in these transformations can be. A reflection on and systematic comparison with prominent scientific narratives of change, e.g. transition theories or social innovation concepts, could enrich our theoretical understanding of societal change with insights from people practicing change.

As a last insight, we would like to highlight that narratives of change are not just 'stories out there', rather they recount the theories of change which are practiced and acted upon by the very social innovation initiatives which propagate them. That Ashoka is focusing on the social entrepreneur, GEN on communal living and RIPESS on institutional change is part of their theory of change and part of their actual practices. The theories of change are guiding their actions and these actions are informing the theories of change. In that sense, (narrative) practices that help spreading alternative views, ideas and practices are used by the networks to increase their transformative potential – also strategically vis-à-vis dominant and institutionalised notions and practices.

In closing this paper, which involved the reconstruction and deconstruction of three narratives of change, the question emerges what the action strategy for research and practice of societal transformation can be. A suggestion is to view this paper as inspiration for "narrative experimentation". Related approaches exist in the form of vision building, scenario development and backcasting. Story writing and the explicit development of narratives of change may form a creative approach to the imagination of alternative futures and new social relations as well as a reflexive tool to rethink implicit and explicit ideas and practices of societal change.

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## Appendix 1: Narrative of Change of Ashoka

Ashoka refrains from defining specific societal challenges and trusts in the capacity of social entrepreneurs to adequately sense and respond to the social problems they see as relevant. As put by the Ashoka Europe Leader: *"If you want to find interesting new responses to social problems you have to shed the view through the problem lens. We're open to any solutions wherever they come from even to problems we may not have defined yet. One of the most interesting contributions of the network is to be a predictive network for changes that are about to happen"* (Interviewee 1). However, theme clusters of different social issues are distinguished, such as Civic Participation, Economic Development, Education, Environment, Health, Human Rights (Drayton, 1997 in Matolay et al. 2015).

Bill Drayton, CEO and founder of Ashoka outlines that in the future, a *"generation hence, probably 20 to 30 percent of the world's people, and later 50 to 70 percent, not just today's few percent, will be changemakers and entrepreneurs. That world will be fundamentally different and a far safer, happier, more equal, and more successful place. To get there, we must end the infantilization of young people. They and the rest of us must enable all young people to be fully creative, initiatory, and powerful changemakers. We must also build the wisest possible financial and other institutions so that, as these young people become adults, the new citizen sector will draw them fully into an 'everyone a changemaker' world."* (Drayton 2006: pp). Ashoka holds that a world of exponential time is coming, as the speed of change, interaction and information flows is considered unprecedented. We therefore need to adapt quickly by creating the supportive institutional structures for social innovations and fostering the individual capabilities of social entrepreneurs and changemakers.

Ashoka clearly focuses on specific individuals as change agents in society: *"We can no longer expect all the solutions to come to us but we have to empower people to be active problem solvers. If you want to do that where else would you start but with the most powerful citizen problem solvers, social entrepreneurs."* (Interviewee 1). Social entrepreneurs are considered as a specific kind of people: *"Social entrepreneurs are not content just to give a fish or teach how to fish. They will not rest until they have revolutionized the fishing industry."* (Ashoka, 2015 in Matolay et al. 2015)

Certain criteria (pattern-changing new ideas, creativity, entrepreneurial quality, ethical fibre, social impact) must be met by these key entrepreneurial individuals in order to be selected as Ashoka Fellows<sup>25</sup>. These criteria are standardized across the world and have remained the same throughout Ashoka's existence. However, they are often misunderstood: *"People sometimes say Ashoka looks for the best social entrepreneurs. That's not true. We look for a particular kind... those crazy innovators who are willing to bet their lives on something that can eventually be huge. That's a tiny section of the total social entrepreneurial field but, hopefully, a powerful one"* (Interviewee 1). While Ashoka first focused more on these high-profile social entrepreneurs, it more recently

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<sup>25</sup> Ashoka Fellows are specifically selected social entrepreneurs, who receive funding, access to networks and trainings by Ashoka.

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expanded its understanding of changemakers to potentially everyone, because a single person with a good idea and the right strategy, support and networks is believed to have an unprecedented impact on a global level. This is related to the assumption that people today are “*healthier, better educated, better networked, with more time available to them (this is not just us, but all over the planet)*” (Interviewee 1).

Regarding support, Ashoka seeks collaboration with diverse actors, mainly individual experts or supporters in business or law, but also partner organizations like firms and foundations to create ecosystems for innovation. “*From the experiences of over fifty Ashoka Fellows in Germany we know that: ‘It takes a village to raise a child.’ It requires a village, a neighbourhood of expert professionals, in order to bring social innovations to a breakthrough. We call this village the Machbarschaft. It ensures that social innovators and their organizations of any stage of maturity and scale have access to the relevant experts: strategy developers and impact monitors, funders and ambassadors, co-entrepreneurs and opportunity portals, coaches and legal professionals, experts on politics and the welfare state*” (germany.ashoka.org, 2014).

Ashoka Germany started to engage with the government only in 2008. Since then it also engages in cross-sector collaborations, not just between civil society and business worlds, but also on multiple levels of the public sector: “*If you look at the fact that more than half of the German Ashoka Fellows have government - on any level - as their major funder, there is absolutely no way you can afford not to work with government if you want to make social entrepreneurship successful*” (Interviewee 1).

Ashoka outlines three main activities, namely the support of social entrepreneurs, the promotion of group entrepreneurship and the building of infrastructures for the citizen sector (or ecosystems for innovation) (Ashoka Online 2015<sup>26</sup>). Ashoka defines their impact as: “the system changes that result from the fellows, ideas, and networks we support” (Ashoka, 2013). For the desired change to take place, Ashoka believes that first of all changes need to take place on an individual level: people’s assumptions about themselves and the world, and their motivations and capacities to effect social change. Building on this follows the step of connecting social entrepreneurs in enabling support networks, as well as connecting actors across business, social, and (more recently) governmental sectors to build a supportive “ecosystem” for social innovation. This involves institutional changes in funding and legislation, as well as cultural changes in shared beliefs, values and norms.

Besides this focus on the individual, systemic change is also a key target, since only those social entrepreneurs are selected as Ashoka Fellows who can demonstrate that their idea is not just new but also has the potential to change a system, “*It has to have relevance to solve a social problem at scale*” (Interviewee 1). As such the three outlined activities are based on “5 Pathways to social systems change (‘revolutionizing a field’)” (Ashoka Fellow Changing Systems 2009 in Matolay et al. 2015):

- Market dynamics and value chains: redefining interconnections in market systems;
- Public policy and industry norms: changing the rules that govern our societies;
- Business-social congruence: transforming the meaning of private versus citizen sector;
- Full inclusion and empathy: integrating marginalized populations;

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<sup>26</sup> <https://www.ashoka.org/approach>

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- Culture of changemaking: increasing the number and capabilities of people who are social problem-solvers (culture of changemaking and social entrepreneurship).

Related to the fifth point, an additional element was suggested by an interviewee, namely “framework change”: *“We’ve come to understand that what we did all along through electing Fellows and creating these networks and platforms, [...] was help people shift how they saw the world [...] we have become more conscious that that is our function, that probably the single most powerful thing we can do [...] is change how people see their role in society where everyone has a potential role. [...] We’ve become more explicit about this function. We think now about framework change as what Ashoka is about, whereas we used to think of Ashoka as about finding, electing, and supporting changemakers and making them successful.”* (Interviewee 1).

## Appendix 2: Narrative of Change of GEN

For GEN, the problems of the world are grounded in a fundamental alienation and disconnectedness from nature, from others and from ourselves. Ecovillage activists perceive modern society as too anonymous, technology-dominated and ruled by non-transparent systems. ‘GEN international’ has a strong focus on reconciliation between the global North and South and indigenous cultures are highly appreciated as existing alternatives to the Western culture of ‘disconnection’. Collaboration in communities is seen as the main principles to ‘heal’ this disconnectedness, reconcile different cultures and support a more holistic worldview. In local ecovillage life, members intend to give space for ‘natural’ collaborative developments to reconnect and harmoniously integrate individual needs, community requirements, and ecological responsibility.

GEN places a strong emphasis on communities as drivers of change by encouraging citizens and communities to design and implement their own pathways to a sustainable future instead of leaving this up to the established governments. According to GEN’s philosophy, the world can be changed by a sustainable, resilient, supportive, equal and free community culture. Each ecovillage member is seen as an important creator of this community culture; be it as leader, account manager, garbage men, cook, mother, or child. GEN intends to raise the awareness that everyone has the choice to act egoistically or collaboratively to make a difference. Everyone invests free time to engage for the ecovillage and beyond for a sustainable world. While there is a great variety of different approaches, ecovillages generally invest a high amount of time in intensive communication methods to solve conflicts and to consciously work out infrastructures, governance and community rules to form these resilient communities of change. Personality work is experienced as supportive to realize this community culture (e.g. non-violent communication).

The individual as a social active being is seen as the main actor and ecovillages want to be more empowering places than traditional villages and cities. They have created governance structures which instead of blindly following rules, put ‘people first’. Members can negotiate individually, for instance in terms of duties, financial contributions, and living space and there are hardly any non-negotiable rules. Several ecovillages run own schools which mostly apply individually-oriented education methods. Ecovillages teach their members to fully take responsibility for their actions and requests. Every individual is seen as his/her own master of change: If we change our ways of thinking, we can change our emotional experience of the world and we are able to act differently and this can have a powerful impact (compare Interviewee 5). In one of their sayings they emphasize the importance of the individual level: *“Changing the world one heart at a time”* (Interviewee 4).

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A GEN member living in Findhorn ecovillage tells: *"We do a lot of sharing: Being heard and sitting in a circle; Some people and guests say it is the first time they ever feel really heard; it is a very open-hearted atmosphere; a lot of people go away completely transformed."* (Interviewee 4)

GEN believes that social change has to start from within each individual: Ecovillage members start in their daily personal lives to act more consciously, trying to realize sustainable ways of living and supporting communities. With a holistic perspective on social life, economy, and ecology, ecovillages have generally started with a common ground and common property that aims at just and collaborative forms of governance as well as responsible land use, restoration and agriculture. The narrative of change that the ecovillage movement is referring to is at the same time their action strategy: to build a network of resilient communities that is not easily affected or hit by negative developments of the macrosystems. They prefer to rely on 'human-scale' systems, because they can overlook, design and influence them.

Ecovillages believe that profound change needs time. Their strategy does not directly relate to any societal developments but rather follows a long-term approach of cultural change by starting with small-scale transformation experiments (Kunze 2012) as holistic, vivid and solid examples. Related to individual life, change occurs in ecovillages from early childhood on in the form of 'forest kindergartens', the ability to move freely in the village and see their friends. Some ecovillages run a free village school. The majority of ecovillages in Western countries are found by adults between forty and fifty who purchase a piece of land to move there and fundamentally change their lives. Ecovillage living is increasingly popular for elderly people. For instance, two third of the joining requests to the popular ecovillage of Schloss Tempelhof are people aged 60+. They observe that young families do not have the time to found an ecovillage, while elders have the experiences and the necessary money to start such a project. Schloss Tempelhof members turn the tables by educating elders how to found such an ecovillage themselves. Also young families discover the advantages of ecovillage living while young adults in the twenties are rather rare or merely temporary guests in ecovillages.

Concerning space and place, ecovillages are probably one of the strongest place-based and place-focused initiatives. Their spot of change is the real physical place and the natural environment as 'stage' for human activities. GEN aims to relate in its ecovillage design courses to each participant's specific cultural, social and ecological environments. The crucial entry point to start an ecovillage is the purchase of the land or at least the right to use the land according to their values. The ecovillage flagship projects are based on a legal form of ownership which safeguards the 'spot of change'. This legal form is often a foundation and shall insure a sustainable land use, affordable housing, collective ownership and the prevention from speculation. Nevertheless, GEN president Kosha Joubert observes a shift in the ecovillage approach from ecovillages as newly founded communities to ecovillages as traditional villages which entered a process of transformation by retrofitting of existing structures (Interviewee 3). She further explains, *"GEN started off as 'islands' of a new culture and experiments of the future. Today we live in a different world. Awareness has risen dramatically. Many of the concepts that GEN was using 10 years ago are currently mainstreamed and used by politicians and in the corporate world. Today GEN aims not to create islands but to transition society to resilience. And we are searching for the role that GEN can play WITHIN that. [...] – seeing ourselves as part of a society wide dialogue."* (Interviewee 3)



## Appendix 3: Narrative of Change of RIPESS

RIPESS considers the trend of economic globalization and the associated structural imbalances such as exploitation, gender inequality, social exclusion, North-South inequality and poverty as highly problematic issues. Indeed, this network of networks was established as a direct response to these developments, in 1997. Its transformative aim was laid down in a foundational declaration: *“We are taking into account that we are under the hegemony of a development model which shows, both in the North and the South, its limits while destroying the planet and generating poverty, exclusion, and ignores the set of human activities which are of paramount importance for the communities, representing thus a threat for the future of mankind; And in an attempt to react to this situation, that we are committed to a process of building a solidarity-based development that questions the concept which reduces and determines the satisfaction of human needs to cut-throat competition on the market and the so-called “natural laws”.* (RIPESS 1997:1) Against economic globalization and closely interrelated societal narratives such as There is No Alternative (TINA) and the proclaimed ‘End of History’ after the collapse of the Iron Curtain, RIPESS seeks to demonstrate that other economic practices are possible, and already exist – in which people and the planet are central, instead of capital. RIPESS has not developed a specific future vision, desired end state or preferred economic model – however it is in the process of developing a global vision on the social solidarity economy, an economic model in which the bottom line is broadened to include values of equality, sustainability and solidarity (RIPESS 2015). According to its website, *“RIPESS’ mission is to build and promote the social solidarity economy (SSE), which takes into account the social and ethical dimension in all its economic activities. [...] It aims at satisfying the needs of individuals and communities rather than seeking to maximize profit or financial gains. Solidarity-based economic units rest upon a model of democratic decision-making and a participatory and transparent management system, which aims at ensuring collective ownership and responsibility for the outcomes of economic activities, as well as ongoing mobilisation and contributions to ensure their success.”* (RIPESS Online 2015<sup>27</sup>).

RIPESS considers itself as *“a network of continental networks that connects social solidarity economy networks throughout the world. The continental networks in turn bring together national and sectoral networks”* (RIPESS Online 2015)<sup>28</sup>. As a bottom-up created political alliance, RIPESS consists not of national RIPESS affiliations, but rather of regional networks of alternative economies, associations, foundations, cooperatives clusters and NGOs. All of them promote different kinds of alternative economies. RIPESS considers itself as a political alliance of dispersed alternative movements, together confronting and developing alternatives to dominant, not solidarity-based and social economic structures. As a political movement and thinking in terms of (very encompassing) hegemonic systems, the RIPESS narrative of change operates with a general frame of (hegemonic) political allies and (counter-hegemonic) adversaries, mainstream and alternative discourses. The overall narrative of change provides an umbrella for otherwise quite divergent ideas on the key agents and driving forces in the desired transformations. Apart from the generally agreed upon importance of empowered groups of citizens, Third sector organizations and socially responsible governments, there is greater divergence within RIPESS on the more market-oriented transformation narratives, such as social entrepreneurship, cooperative economy and ethical banking.

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<sup>27</sup> <http://www.ripest.org/about-us/?lang=en> (accessed August 27<sup>th</sup>, 2015)

<sup>28</sup> <http://www.ripest.org/about-us/?lang=en#intro> (accessed August 27<sup>th</sup>, 2015)



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RIPESS does not accompany its vision on a new economic model with specific institutional arrangements through which the values of solidarity-based and social economic practice are to be safeguarded. Rather than a linear development in a particular direction, RIPESS seems to envision a constant struggle waged between a dominant global model (the hegemonic neoliberal order, see earlier) and various dispersed local alternative economies. The network was established to organize the solidarity-based alternatives on a similarly global level (as a counterweight) as the problem (economic globalization) manifests. As a network-of-networks, RIPESS is primarily driving change by constructing a clear, well-articulated and recognizable political voice for a great variety of socially innovative, transformation-oriented local networks and organizations. RIPESS seeks to overcome fragmentation of alternative social forces, considering the unionist dictum that 'united we stand, divided we will fall'. The aforementioned political voice is currently mainly heard by global organisations on development such as UNRISD (Cf. Utting et al. 2014), and less so, or hardly even, on the levels of the European Union or of nation states. The political voice is supposed to empower the activities of the various RIPESS members. Apart from the political-discursive strategy to establish the existence and feasibility of solidarity-based economic practices, as examples to follow or to facilitate, the RIPESS members are engaged in various concrete projects on the local or regional level: Social enterprises, insertion companies, cooperatives, ethical banks, micro-credit networks, alternative currency schemes, consumer-producer networks, etc. These activities are considered valuable on the local scale – yet according to RIPESS, actual transformation would require more than this 'concrete action', namely alignment between dispersed alternative economies, and a broadly ie. globally carried counter-narrative vis-a-vis the hegemonic neoliberal order.

## 3.6 New Economy as social innovation field

**Title:** Transitions towards New Economies? A Transformative Social Innovation Perspective

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### Abstract

There are numerous social innovation networks and initiatives worldwide with the ambition to contribute to transformative change towards more sustainable, resilient and just societies. Many of these have a specific vision on the economy and relate to alternative visions of a 'New Economy'.

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This paper highlights four prominent strands of new economy thinking in state-of-the-art discussions: degrowth, collaborative economy, solidarity economy, and social entrepreneurship. Taking a perspective of transformative social innovation, the paper draws on case studies of 12 social innovation initiatives to analyse how these relate to new economies and to transitions toward new economic arrangements. The 12 cases are analysed in terms of a) how they relate to narratives of change on new economies, b) how they renew social relations, and c) how their new economy arrangements hold potential to challenge established institutional constellations in the existing economy.

## 1. Introduction

The emergence of persistent sustainability problems in such sectors as energy, water and food has led to renewed interest in the ways in which society can combine economic and social development with the reduction of its pressure on the environment. Transitions research has emerged in recent years as an exciting new approach to sustainable development that seeks to contribute by researching transformative change at the systems level, conceptualized as 'sustainability transitions' (Grin et al. 2010). This new field of sustainability transitions research has emphasised how change involves more than technology alone. Rather, technical changes need to be seen in their institutional and social context, generating the notion of 'socio-technical systems', which are often stable and path-dependent, and therefore difficult to change. Under certain conditions and over time, the relationships within socio-technical systems can become reconfigured and replaced in a process that may be called a system innovation or a transition. There is an increasing attention for the relation between sustainability transitions and economic developments, including, for instance, the economic crisis (Van den Bergh 2013) and green growth (Geels 2013, van der Ploeg 2013).

Meanwhile a parallel development, arising to a significant extent in a civil society context, has involved critiques of current economic and institutional arrangements and the emergence of initiatives aiming to promote alternative 'new economic' arrangements (such as e.g. complementary currencies, Seyfang & Longhurst 2013). These initiatives are arguably providing experiments, learning and impetus for nascent sustainability transitions. In fact there now exists a vast, diverse and growing number of networks and initiatives across the world, many of which have the explicit ambition to contribute to transformative change towards more sustainable, resilient and just societies (see e.g. NESTA 2010). Many of these networks and initiatives have a specific vision on the economy, and many of them relate to alternative visions of one or more 'new economies' (e.g. 'Sharing Economy', 'Gift Economy', 'Social Impact Economy', 'Green Economy', 'Solidarity Economy'). These visions seem to converge in some general change ambition whilst also bringing forth quite different alternative economies.

A related empirical trend in recent years has been the emergence of a strong policy discourse around 'social innovation' in European countries and the EU especially, but also in other world regions such as several countries in Latin America (Haxeltine et al. 2013). This policy discourse frames social innovation as an important response to the persistent sustainability problems faced by societies around the world today, in particular the economic turmoil of the past few years (see e.g. BEPA 2010).

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We argue that these recent empirical developments challenge the emerging field of sustainability transitions research to more radically include the dynamics of *social and cultural* change in researching and theorising the potentials for sustainability transitions. To that end, this paper addresses alternative forms of '(New) Economy' from the perspective of *transformative social innovation*. We employ a novel conceptualisation of social innovation as *changes in social relations, involving new ways of doing, organizing, knowing and framing* (Haxeltine et al. 2015, Moulaert et al. 2013, Howaldt & Kopp 2012). With *transformative social innovation*, we refer to the process by which social innovation contributes to *transformative societal change*, for example toward new economic systems (Haxeltine et al. 2013, Avelino et al. 2014).

We see social innovation processes as intimately intertwined with technological innovation, as emphasised by the socio-technical transition perspective (Markard et al. 2012). In such a socio-technical perspective, however, the focus often remains on *the social dimensions of technological innovation*. The concept of social innovation serves to move beyond the social as a dimension of technological innovation, towards specifying how and to what extent this *social dimension is an object of innovation in itself*.<sup>29</sup> It is this socially innovative aspect that we focus on when considering new economy discourses and practices, combined with an interest in the transformative ambitions, potentials and impacts of those socially innovative phenomena.

Social innovation conceived of in this way, is a much broader phenomenon than only initiatives that relate directly to 'New Economy' thought and practice. Accordingly, the study of the linkages between social innovation and sustainability transformations is a rich and emerging research topic. In this paper we use the limited scope of 'new economy' phenomena and an empirical sample of related networks and initiatives as a way to empirically explore just one aspect of this hugely complex puzzle of how (transformative) social change is contributing to sustainability transitions.

More specifically, this paper seeks to address the following set of question. *What kinds of new economy phenomena are emerging, and how can we conceptualise and distinguish those?* (section 2). *What are the explicit and implicit narratives about the (new) economy amongst social innovation initiatives?* (section 3). *What is 'socially innovative' about the 'new economy' arrangements of these initiatives, in terms of new social relations?* (section 4). *And what is potentially 'transformative' about these arrangements, in terms of how they challenge or confirm existing institutional constellations and underlying power relations between the state, the market, the community, and the non-profit sector?* (section 5).

We answer these questions by drawing on empirical analysis of 12 social innovation networks and how they relate to the (new) economy on the three dimensions mentioned above: (a) narratives of change, (b) new social relations, and (c) challenging institutional constellations. An overview of the case-studies is given in table 1 below. These 12 social innovation networks were selected as in-depth case-studies, and finalised as an interim outcome of the research project "TRANSformative

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<sup>29</sup> For instance, community energy initiatives involve and depend on technological innovation, such as solar energy and other technologies that enable decentralised energy production. At the same time, community energy initiatives are also 'socially innovative' in the sense that they lead to new social relations between e.g. neighbours, and/or between consumers and producers.

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Social Innovation Theory” (TRANSIT)<sup>30</sup>, which studies the relation between social innovation and transformative change (Haxeltine et al. 2013, 2015, Avelino et al. 2014, Pel & Bauler 2014). The specific cases were selected because they represent (1) transnational networks operating across Europe and Latin-America, (2) working on social innovations, and (3) having transformative ambitions, hence allowing for a cross-national and cross-regional empirical analysis of social innovation in relation to transformative change<sup>31</sup>. Each network has been studied as an embedded case study, both at the level of its transnational networking activities, and its manifestation in two ‘localities’ (Table 1). The in-depth case study work was based on elaborate conceptual and methodological guidelines, which relied on three main research methods for data-collection: interviews, participant observation and document reviews (Jørgensen et al. 2014).

The case-study sample of 12 networks and 24 local initiatives displays a very rich diversity of social innovation types and scales (Jørgensen et al. 2015). The diversity ranges from a case like the **Impact Hub** - a global network of social entrepreneurs, including over 60 co-working places across the world – to a case like the **Global Ecovillage Network** - a network of intentional communities where families are living their daily lives –, and from the case of **FabLabs** - a network of digital fabrication workshops open to local communities, where people gather to make things - to the case of **RIPESS** - a network of networks and political movement for the promotion of solidarity economy across the globe. Across this rich diversity, there are also commonalities, including, inter alia, explicit linkages to new economies. Those linkages to new economies are the focus of this paper.

Table 1. Overview of Case-studies Social Innovation Networks TRANSIT project

Social Innovation Networks under Study		Local Case 1	Local Case 2
1	<b>Impact Hub:</b> Global network of glocal hubs for social entrepreneurs	Netherlands	Brazil
2	<b>Ashoka:</b> Network for supporting social entrepreneurs	Hungary	Germany
3	<b>Time Banks:</b> Networks facilitating reciprocal service exchange	UK	Spain
4	<b>Credit Unions:</b> Network of different types of credit cooperatives	UK	Spain
5	<b>RIPESS:</b> Network for the promotion of social solidarity economy	Romania	Belgium
6	<b>FABLABS:</b> Digital fabrication workshops open to local communities	UK	Argentina

<sup>30</sup> TRANSIT (TRANSformative Social Innovation Theory) is a 4-year, EU-supported research project:

<sup>31</sup> This sample of 12 networks is far from exhaustive and merely represents a first batch of empirical analysis, which is elaborated in the TRANSIT research project with a second batch of additional case-studies.

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7	<b>Hackerspace:</b> User driven digital fabrication workshops	UK	Argentina
8	<b>Living Knowledge Network:</b> Network of community-based research entities/ science	Denmark	Romania
9	<b>DESIIS-network:</b> Network for design for social innovation and	Italy	Brazil
10	<b>Global Ecovillage Network:</b> Network of eco-villages and other intentional	Portugal	Germany
11	<b>Transition Towns:</b> Grassroots communities working on 'local resilience'	UK	Hungary
12	<b>INFORSE:</b> International network of sustainable energy NGOs	Denmark	Belgium

## 2. Strands in new economy thought and practice

We use the term 'new economies' to describe a broad set of related and intertwined ideas that emerge from critique of mainstream economic thought and practice and reflect visions about prospective or emerging alternative or complementary economic theories and practices. New economy critiques (some of them with longstanding origins and representing perspectives across the full political spectrum from right to left), focus on perceived flaws of mainstream economic concepts and practices, especially the focus on growth as an economic goal, faith in markets as efficient allocative mechanisms, and the role of government and national banks in issuing money and credit (Boyle and Simms, 2009; Riegel 1944, 1949).

A number of different concepts and terms have emerged within the broader field of new economic thinking to describe forms of economic organization that represent either changes to the currently dominant form (neoliberal market capitalism), alternative forms, or complementary forms. To name but a subset of the various concepts and terms, these include the green, communal, community, collaborative, sharing, inclusive, solidarity, informal, social, social impact, social entrepreneurship, core and commons-based economy. Many of these concepts are still to be defined clearly. The same or similar terms are sometimes used to connote different phenomena and vice versa. This is not surprising as there are clear commonalities and overlaps among some of the concepts and the ideas and visions they are used to project. Greater definitional clarity is likely to emerge over time. Against this backdrop, it is useful for the present paper and its purposes to draw on a subset of such concepts, which illustrate the range of different ideas that are prominent in new economy discourses. We distinguish and highlight four prominent strands, each focusing on a rationale and direction for economic change: (1) degrowth and localisation, (2) collaborative economy, (3) solidarity economy, and (4) social entrepreneurship and social economy.

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## 2.1. Degrowth & Localisation

The argument that exponential economic growth cannot continue indefinitely in a world of finite resources (e.g. Meadows et al. 1972), has led to calls for a reorientation of economic activity away from continuous expansion and toward lower material production and consumption (e.g. Daly 1996, Jackson 2009, Paech 2012). Ayres (1998) conceptualized an end to the growth economy and a turning point, and refers (2014) to the current economy as a 'bubble economy'. The major ecological concern that underpins calls for degrowth is related to perceived limits on planetary capacities to absorb and process material wastes from economic activities without loss of (or changes) to critical ecosystem properties and functions, such as climate regulation. Degrowth is related, therefore, to calls for other kinds of economic change, such as toward a zero-carbon economy, a dematerialized economy, a circular economy, and switches from selling (material) goods to selling (dematerialized) services. These ideas – combining efficiency, sufficiency and eco-restructuring strategies – are to some extent taken up within the concept of a green economy, although there is continuing discourse over (ecological) constraints on growth and how these might relate, also, to how growth is measured. Arguments for degrowth of western economies are related also to notions of 'making space' for developing economies to grow.

Whilst degrowth is something that can be envisaged at the macro-economic scale (Victor, 2009, Jackson 2009) proponents often place a strong emphasis on processes of economic localization as a component strategy. There are several strands of localist economic thought, but the more radical of these are based in critiques of global capitalism. Here, the central argument is that economic growth itself is the problem rather than just the increased intensity of global economic relations and that Northern levels of resource consumption are ecologically unsustainable (Douthwaite 1992). Therefore the solution is not simply to localise circuits of consumption and production, but to create a steady-state economy, which "minimizes resource use, sets production on small and self-controlled scales, emphasizes conservation and recycling, limits pollution and waste, and accepts the finite limits of a single world and of a single ultimate source of energy" (Sale 1980, 331). More recently the idea of local economic resilience has been promoted in parallel with localisation (Hopkins, 2008). Drawing on wider discourses of 'systemic' resilience, the argument here is that, through processes of globalization, places have lost their resilience to (external) economic shocks. Efforts, should therefore be made to rebuild some of this lost resilience, and processes of localisation are one way in which this can be done.

## 2.2 Collaborative economy

At its essence, the collaborative economy is about new forms of networked production and consumption - facilitated by new forms of technology - that bring people together in new ways, often without intermediaries and outside existing markets or institutional structures (Belk, 2014). According to Stokes (2014 p.7) "activities and models within the collaborative economy enable access instead of ownership, encourage decentralised networks over centralised institutions, and unlock wealth (with and without money). They make use of idle assets and create new marketplaces". We identify at least two specific sub-concepts under- the collaborative economy umbrella: the peer-to-peer economy, and the sharing economy.

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Peer-to-peer (P2P) is based on distributed network approaches to manufacturing where people work on common goals and outcomes in projects whilst sharing information, resources, knowledge and outcomes, which become part of a 'commons'. P2P has been practiced in universities and companies for the last thirty years but has now expanded into other spheres of life. Digital tools support collaboration and the sharing of learning and outcomes locally and globally in a process that has been termed 'commons-based peer production' (Benkler & Nissenbaum 2006). It also allows them to co-fund or to seek finance for manufacturing tools for larger scale processes and projects through instruments such as crowd-sourcing on sites like 'Kickstarter'. Troxler (2010, p.2) has argued that, as part of such a revolution 'nonmarket production' processes in combination with 'decentralised production and distribution' will play a greater role in society. Amateur innovators increasingly become able to manufacture their ideas through small-scale, decentralised manufacturing processes, rather than have their ideas dismissed by mass manufacturers (Anderson 2012).

Definitions of the sharing economy vary and overlap with broader ideas of the collaborative economy and peer-to-peer (Schor 2015). Botsman (2013) defines three different systems: i) A redistribution market where unwanted or underused goods are being redistributed or reused (such as freecycle or garden share) ii) Collaborative lifestyles where non-product assets such as time, skills, money or space are exchanged or traded in new ways (e.g. air-BnB or peer to peer finance), and iii) product service systems where people pay to access a good rather than buy it (e.g. car share). In each case, different types of sharing and business (for-profit and not-for-profit) can be identified and the extent to which for-profit businesses are contributing to a wholly new form of economy has been questioned. It is claimed that growth of sharing and collaborative production and consumption have been fostered by the 2008 economic crisis (Cohen & Kietzmann 2014; Virjan 2014) "that caused some consumers to lose their homes, cars, and investments and made most everyone more price sensitive" (Belk 2006 p.6). Cohen and Kietzmann (2014) argue that the emerging sharing economy is particularly interesting in the context of cities that struggle with population growth and increasing density.

## 2.3. Solidarity economy

The term solidarity economy tends to have different meanings in different contexts. In this paper we refer explicitly to the movement and discourse which has gained some momentum in North and South America during the last two decades. This has a strong anti-capitalist ethic and advocates a range of collective, grassroots methods of organising economic activity (de Sousa Santos 2007; Miller 2004). Primavera (2010) suggests that the solidarity economy is now recognized as a different form of production and consumption as it attempts to institutionalize the participation of workers and other excluded actors into the economy. This focus on building economic solidarity is a core aspect of this approach. Ideas around the solidarity economy were promoted and popularized by the World Social Forum and anti-globalisation movements of the late 1990s but have now become more widespread and, in some cases, formalized into elements of government policy.

Counterposing the solidarity economy as an alternative to both the capitalist market and planned economies, Miller (2008) defines solidarity economics as "as an organizing tool that can be used to

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re-value and make connections between the practices of cooperation, mutual aid, reciprocity, and generosity that already exist in our midst. Such a tool can work to encourage collective processes of building diverse, locally-rooted and globally-connected, ecologically- sound, and directly democratic economies". Miller (2008) emphasizes the bottom up community led nature of solidarity economy activity and how it is something that needs to be actively nurtured and built. Singer (2007) argues that solidarity economy has a number of core themes: participatory democracy; equity; environmental sustainability and transnational solidarity. The latter indicates that whilst much solidarity economy work is focused at grassroots activities, there is a sense of it being a broader transnational movement and network. This is echoed by the Economic Solidarity Group of Quebec (2003) which emphasizes the breadth of solidarity economy activity across the Global North and South.

## 2.4. Social entrepreneurship and social economy

Social entrepreneurship is characterised by the combination of entrepreneurial and commercial means with social goals (Alvord et al 2004:262, Mair and Martí 2006). It is 'not-for-profit' in the sense that profit is made, but such profit is not the primary driver. The main goal is to achieve desired social impact (Dugger, 2010). Interest in social entrepreneurship grew in the 1990s as recognition grew of its role in social provision and welfare delivery. In a report pivotal in popularizing the concept, Leadbetter (1997) argues that social entrepreneurs are 'social' in several senses: in promoting social outcomes; in that their focus on social capital gives them access to other capitals; and, in that they establish organisations that are socially-owned and not primarily profit-focused. It is for these reasons social enterprise is often celebrated as providing a viable alternative to privatization, de-regulation and re-regulation (Laville, 2003, Ridley-Duff 2009).

Social entrepreneurs often focus on developing social enterprises or ethical businesses – businesses which have a double or triple bottom line, i.e. social and environmental impacts as well as economic. Social enterprises are often characterized as operating in the 'social economy' (Pearce, 2003). Pearce distinguishes between social enterprises which have a national or regional geographical focus, such as fair trade organisations, and those that have a local focus, which he characterizes as community enterprises. In recent years there has been interest in the latter as potential engines of local economic development (Graham and Cornwell, 2009). Social entrepreneurs are also championed for their innovative qualities, which it, has been argued, are often focused on systemic transformation (Bornstein, 2004). The focus on social and environmental outcomes means that new forms of measurements and metric have emerged which attempt to capture the value produced by social enterprises (Paton, 2003).

## 2.5 Relating Strands of New Economy to Social Innovation Networks

Whilst these four strands of new economic thinking can be analytically distinguished, they overlap, intertwine and have several commonalities in their underlying philosophies and in the way that new economic ideas are linked to new configurations of economic social relation. These include, among others: new forms of production, consumption, ownership, valuation, exchange, and organization. They incorporate new notions about what constitutes a resource, what constitutes 'work' and how useful work should be incentivized, recognized and rewarded.



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All these diverse dimensions of new economy thinking feature prominently in the social innovation networks under study introduced in the previous section (see table 1). Each of the 12 social innovation network under study explicitly relates to the underlying philosophies of one or more of the four new economy strands. Table 2 below summarizes which social innovation networks relate to which of the four strands of new economy thinking. In the next section we unpack these relations between the networks and the new economy strands, by discussing how the social innovation networks interact with different discourses on new economies.

Table 2: Relation between new economy strands <> social innovation networks under study

<b>Strands of New Economy</b>	<b>Social Innovation networks under study</b>
<i>Degrowth &amp; Localization</i>	Global Ecovillage Networks, Transition Towns, INFORSE, Time Banks
<i>Collaborative Economy</i>	Ashoka, Impact Hub, Time Banks, Fablabs, Hackerspaces, Science Shops, DESIS, Global Ecovillage Network, Transition Towns
<i>Solidarity Economy</i>	RIPESS, Global Ecovillage Network. Time Banks
<i>Social Entrepreneurship &amp; Social Economy</i>	Ashoka, Impact Hub, Time Banks, Credit Unions, DESIS, INFORSE

## 3. Findings 1: Narratives of change on ‘new economies’

The 12 networks under study have specific visions about the economy and relate to and/or engage with discourses on new and different forms of economies. Our enquiries found that the ambition to work toward and contribute to a different type of economy was present explicitly in all the cases and included ideas on degrowth, localisation, social entrepreneurship, collaborative, solidarity and social economy, as well as other ideas, such as ‘post-capitalism’, ‘green economy’, or ‘gift economy’. These ideas and ambitions are embedded in so-called ‘narratives of change’. We define narratives of change as the “*discourses on change and innovation, i.e. sets of ideas, concepts, metaphors, and/or story-lines about change and innovation*” (Avelino et al. 2014: 9). Here we are interested in how the narratives of change of the social innovation networks, relate specifically to the (new) economy.

Narratives are “*drawn from social, cultural and perhaps unconscious imperatives*” (Andrews et al. 2003), while at the same time revealing and contributing to those imperatives. A focus on narratives of social innovation networks can reveal the assumptions and premises of the network, and how it relates to and frames the broader context in which it is situated. Often, social innovation networks or initiatives express, in narrative terms, the way they think the economy does or should

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work and how their initiative/network can influence this. Such narrative may also serve to develop a strategy for achieving societal change.

In doing so, networks connect their work to the broader context and engage in (co-)creating societal narratives. In this vein, Davies (2002) talks also about ‘counter-narratives’ as instruments through which social movements (cf. social innovation networks) “struggle against pre-existing cultural and institutional narratives and the structures of meaning and power they convey” (Davies 2002: 25). Counter narratives in this understanding “*modify existing beliefs and symbols and their resonance comes from their appeal to values and expectations that people already hold*” (idem.)

## 3.1. Co-shaping Narratives of Change on New Economies

We observe that the social innovation networks under study relate to different and new forms of economy by either referring explicitly to one or several of the new economy strands (as outlined in section 2), or by using other terms, thereby elaborating and co-shaping existing narratives on new economies. Most straightforward are the explicit references to the four strands: degrowth & localisation (e.g. Transition Towns), collaborative economy (e.g. Hackerspaces), solidarity economy (e.g. RIPESS) or social entrepreneurship (e.g. Ashoka, Impact Hub) and social economy (e.g. RIPESS). However, we also see that networks refer to other terms and accompanying narratives, such as distributed economy or knowledge economy (e.g. Hackerspaces), social impact economy (e.g. Impact Hub), open source circular economy (e.g. FabLabs), and post-capitalism (e.g. Global Ecovillage Network). Several networks also develop (their own) very specific concepts, thereby creating new narratives. An example is the **FabLab** network, which refers to a ‘Fab Economy’, which “*is about creating a new economy for everybody, where local fulfilment and customization take the place of mass production and global distribution*” (fabeconomy.com<sup>32</sup>). We also see changes over time, with for example the **Impact Hub** first primarily stressing ‘social entrepreneurship’ and now increasingly focusing on the ‘social impact economy’. Additionally, we see different emphases within the same network. While the transnational organisation of the **DESIS** network refers to the ‘sharing economy’, one of its local DESIS initiatives in Brazil focuses more on ‘social economy’.

The **RIPESS** network is an interesting example showing that one network fosters different strands of new economies and revealing tensions that exist between the different strands. The network aligns a miscellany of ‘social’ or ‘solidarity-based’ initiatives all over the world (Hiez & Lavillunière 2013; Utting et al. 2014). Within the European branch of the network, the social economy is considered to be a valuable move towards an economy founded on cooperative principles, on workers sharing in revenues and on creation of societal value rather than shareholder value (Cf. Defourny & Develtere 1999). Still, this social economy sector is seen to include enterprises that take basic structures like worker-boss hierarchies, profit-seeking and environmental externalization largely for granted. A spokesman of RIPESS Europe considers the solidarity-based economy as a radicalisation of the social economy, extending its aims for solidarity between producing individuals:

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<sup>32</sup> Fabeconomy.com, website accessed August 5<sup>th</sup>, 2015.

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*"...politically, the social economy is very much a socialist/social-democrat phenomenon, and the solidarity economy is rather an environmental party thing, culturally. So it also brings along a different societal project – a project that has extended the concept of solidarity. The cooperatives, that is about solidarity between members. The solidarity economy has extended that solidarity, however... towards the people in the global South (the fair trade), intergenerational solidarity (between the young and the old), solidarity with the unemployed, well, that is the whole angle of 'insertion', ecological solidarity (taking the environment more strongly into account)" (interview quoted in Pel & Dumitru 2015).*

*"It is very common for the social economy to be conflated with the solidarity economy. They are not the same thing and the implications of equating them are rather profound. The social economy is commonly understood as part of a "third sector" of the economy, complementing the "first sector" (private/profit-oriented) and the "second sector" (public/planned). (...) The solidarity economy seeks to change the whole social/economic system and puts forth a different paradigm of development that upholds solidarity economy principles." (RIPESS website, 2013).*

These examples of RIPESS also clearly show that networks do not only *relate* to specific narratives, but also play a role in *co-shaping and spreading* narratives as well as putting these into practice. Both Ashoka and the Impact Hub, have from the beginning fostered the narrative of social entrepreneurship – projecting themselves as enablers supporting social entrepreneurs and working to create facilitating conditions through which social entrepreneurs could have positive impact onto the world. Through this attitude and the practice, they co-shaped the concept.

## 3.2. Playing into game changing developments

Narratives are therefore constitutive and constituting of the social context. Of interest is the relation between narratives of change and so-called 'game-changers': macro-developments that are framed as or perceived as changing (the rules, field, players in) the 'game' of societal interaction (Avelino et al. 2014). Examples of game changers are 'globalisation', 'climate change', population aging, migration, and the 'economic crisis'. A good example of how the narratives can be influenced by game changers is provided by our **Transition Towns** case study. The Transition Town movement was initiated to deal with the twin game-changers of peak oil and climate change. It positioned itself as a solution to both. Since the economic crisis of 2008 the movement has (re)positioned itself also as a response to global economic instability, focusing on the creation of resilient local economies. This seems not only to be a strategic reframing, but also a matter of genuine realisation of how the economy is intertwined with other targeted problems.

In the following, we zoom in on the economic crisis as an exemplary game changer which has spurred debates about the unsustainability of our current financial and economic systems and drawn new attention to alternative economic narratives. While the mainstream discourse is still about how to regain adequate rates of economic growth, counter-narratives about what might replace the growth-society model are emerging. This includes (longstanding and more recent) ideas on de-growth (Schumacher 1973, Fournier 2008), green growth (OECD 2013), or post growth (Jackson 2009). Ashoka Germany describes the effects of the economic crisis as follows:

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*“Financially we didn’t take any dent. I think to the extent that this made people reflect on values [...] it’s helpful for the topic of social entrepreneurship. [...] I think students get drawn to the concept [of social entrepreneurship] because they think of ethical questions, and they like the aspect of being able to marry ethical questions and questions about how is the world going, what is the future of the world, etc. to entrepreneurial tools and plans, etc. [...] The more society reflects on meaning and purpose and values, the more often people come across the social entrepreneurship thing” (quoted in Matolay et al. 2015).*

Such narratives also question the market logic that constructs human beings as well as nature as resources and commodities in the production of goods (Freudenburg et al. 1995).

While discourses on e.g. ‘solidarity economy’ can be constructed as ‘counter-narratives’ (see RIPPES example above), they have considerable overlaps with mainstream policy discourses on e.g. the ‘Big Society’ (UK) and ‘the participation society’ (The Netherlands). Many of these narratives and associated ideas are not necessarily ‘new’ as such. Indeed many have existed for decades (or even centuries) and the economic crisis has triggered new and revitalised interest in these narratives, thereby translating relatively ‘old’ narratives into a modern narrative on ‘the new, social economy’ as a forward-looking response to contemporary challenges (e.g. Rifkin, 2014).

## 4. Findings 2: New economies, renewing social relations

While the networks all engage with societal discourses on new economies and strategically reposition and reframe their initiatives accordingly, another shared aspect is that they all have strong internal visions concerning the role of new kinds or qualities of social relations in enabling ‘new economies’ and other forms of social change. New forms of economic exchange entail new social relations as a precondition. New forms of economic exchange, however, also influence how new social relations are put into practice, by creating a range of possibilities for their enactment and experience and by generating conditions for those involved to co-produce and learn about different ways of relating. Changes in relationships of production, consumption, and exchange, in the roles of actors and in the distribution of burdens and benefits, aim at building a new type of community, mentioned by different initiatives as a key objective of the quest for new economies.

The interrelation of new forms of economic exchange with a different quality of relations is well expressed by an interviewee from the case of Tamera, an **ecovillage** in the South of Portugal, where ecovillagers explicitly aim to work with a sharing and gift economy:

*“Economy is always a reflection of our social behaviour. And so you need to look at this if you want to change the economy also. (...) If we build a new currency, we need to anchor it in a new social system, in a new social behaviour of people, in order for it to work. Because if I don’t trust people, also Gift Economy doesn’t work at some point. [...] I have my doubts [about alternative economic systems] if they are not based in community work.” (Resident Tamera ecovillage, interview #TAM6 quoted in Kunze & Avelino 2015).*

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Also the German ecovillage Schloss Tempelhof emphasizes connectedness, human interaction and inclusion. Previous studies have shown that ecovillage initiatives are intentionally building new social relations and creating new communal structures (Weber 1964; Coleman 1997). It has also been argued that they re-invent ‘community’ in a fashion that is able to correspond with the background of an individualized society (Kunze 2012). Through building social relations intentionally and in connection with shared economic values, properties, or businesses, community is being re-invented in a new form beyond conventional cultural patterns and norms.

These ideas are present also in the philosophy of **Time Banking**, which uses service exchange among networks of time bank members as a mechanism not only to produce and deliver socially useful services, but also to build relationships among members of the time bank. The values and principles of time banking stress inclusion and respect; equality (all services are valued equally); reciprocity and cooperation; abundance; and self-empowerment through cooperation (both individuals and the community become more self-reliant and more independent of external forces and systems by sharing and developing the talents, skills and resources of community members). The values of time banking are diametric opposites of the values projected by today’s dominant institutions, such as those of commercial markets, the professionalised welfare state, and the formal money and banking systems, which stress scarcity value, individual property rights, formal contractual arrangements, and money as a measure of value and store of wealth. Time banking challenges the ideas that money is the only (or most important) source of wellbeing and security, that only qualified people can obtain useful work, and that only paid employment is worthwhile. It recognises and rewards unpaid work and those who do it and it offers opportunities in the time banking economy for those excluded from the formal economy (Weaver et al. 2015).

Although entirely different as a case, focused on social entrepreneurship in 60 co-working spaces around the world, the **Impact Hub** also emphasizes the importance of social relations and community work as a main motivation and a basis for wider economic transformation:

*“It is about the quality of relationship and the way we operate with each other. (...). It’s something around being part of a certain type of society, which attracts people here. Not just pure service relationship or nice products and services. That’s nice, but people come in for something bigger. The way of being together is why people come to our Hubs. We pride ourselves in building another kind of society.” (Member global Impact Hub team, interview 8 quoted in Wittmayer et al. 2015).*

Also the Ashoka network in Germany places emphasis on building new relations and connections, and includes dedicated network programmes – such as “The Machbarschaft” – that focus on connecting Ashoka Fellows with other people with necessary expertise, aiming to provide a supportive ecosystem for social entrepreneurs with good ideas but insufficient professional expertise:

*The Machbarschaft is “a play-on-words, based on the German word for neighbourhood, Nachbarschaft, with one letter changed [so from Nachbar: neighbor, to Machbar:*

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*feasible/possible] to make it read as 'a place where everything is possible'" (Member of organisation Ashoka Germany, quoted in Makolay et al. 2015).*

*"From the experiences of over fifty Ashoka Fellows in Germany we know that: 'It takes a village to raise a child.' It requires a village, a neighbourhood of expert professionals, in order to bring social innovations to a breakthrough. We call this village the 'Machbarschaft'. It ensures that social innovators and their organizations of any stage of maturity and scale have access to the relevant experts: strategy developers and impact monitors, funders and ambassadors, co-entrepreneurs and opportunity portals, coaches and legal professionals, experts on politics and the welfare state" (Sozialunternehmer-Konferenz, 2014, quoted in Makolay et al. 2015).*

The social innovation cases differ in the centrality they attribute to these objectives of relationship transformation. **Fab Labs**, for example, emphasize connectivity as a value in reaching for a transformation towards the sharing of knowledge and commons-based peer production, as well as active engagement and individual empowerment. Fab Labs can be described as spaces where people come together to learn about versatile digital design and manufacturing technologies and create things in individual or collaborative projects. Fab Labs often originate from existing community centers, thus already possessing a strong link to community development and involvement. Centers are often run by people who are well-trained and experienced within community development and have a repertoire of techniques that they can use to bring local people together (Fieldwork notes in Hielscher et al. 2015).

Some social innovation initiatives bring together already established actors from both private and traditional civil society sectors, who have previously established patterns of relations that are conditioned by existing frameworks of the "old" economy. Those involved in initiatives such as Fiare, a Spanish **Credit Cooperative**, aimed at promoting social and environmental wellbeing through a new, solidarity-based economy, consider changing relations among actors as a key part of efforts towards societal and economic transformation. Common commitment and engagement with transformation and a collaborative process that stresses relationship building are considered as drivers for success and positive impact. The following quote also alludes at the potential difficulties that arise in processes of relationship transformation, as actors bring old patterns of relating with them into the new project:

*"It is important for us to focus on processes of establishing connection, working together and learning to share knowledge. All that in the world of solidarity economy we call reciprocity, cooperation, decentralized solidarity, all these things to which we say...yes, yes, but when the calls for public funds come out, organizations fight against each other. This has not happened in Fiare. Fiare is a story of cooperation, reciprocity, donation, and altruism of many organizations that have put money, time, knowledge - many resources in general - with a lot of generosity. Organizations that, outside of Fiare, sometimes had difficult relationships, but shared an agreement about the fact that building this project was worthwhile." (quoted in Dumitru et al. 2015).*

A clear link between transforming relations and a new economy is also established by the **DESIS network**, which gathers together initiatives that change from a delivery approach to services,

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which considers consumers as passive recipients and focuses on rationalizing provision, to a collaborative approach, which considers consumers as co-producers. Collaboration and coproduction allow for individual differences, non-standardized interactions and unexpected interpersonal encounters (Cipolla & Manzini, 2009). This relational approach to services relies on values of spontaneity, meaningful engagement, connection and collaboration in the co-production of a new economy.

We argue that motivations for change visible in social innovation initiatives arise out of dissatisfaction with, among others, the quality of social relations. The empirical evidence from the 12 case studies analysed points to transformations in relations that are consistent with theory and research on contexts that support the satisfaction of fundamental human needs, and consequently foster human wellbeing. Self-determination theory, for example, has postulated the existence of three fundamental human needs – competence, relatedness and autonomy (Ryan and Deci, 2000) – and argued empirically that physical, psychological and social wellbeing is related to how well these are satisfied. In their attempt to bring about transformative change, we contend that social innovation actors are motivated by a search for contexts that support need satisfaction and that initiatives strive to create such contexts. Optimal satisfaction of human needs is, in turn, a precondition for motivations to maintain engagement and for the individual and relational transformations that are the cornerstone of new forms of economic exchange. These contexts move away from conditions of excessive control and lack of connectedness, which are sources of alienation and ill-being. Initiatives provide spaces of choice and free engagement which stimulate self-driven learning and experimentation, thus promoting active engagement instead of passivity, and helping to satisfy the need for autonomy (understood as the experience of acting in accordance with one's authentic interests and values).

Many of the social innovation initiatives under study promote shared, co-produced learning, collective entrepreneurship, and active engagement and space for the uniqueness of individual preferences and values, instead of standardization. These thereby help satisfy the need for competence understood here as being effective in dealing with the environment or context. All our case study social innovation initiatives promote connectedness and relationships based on trust and authenticity. Some emphasize direct interpersonal relationships of higher (ecovillages) or lower intensity (DESI, credit cooperatives), while others emphasize connectedness through sharing of physical and virtual spaces (Fab Labs, Impact Hubs etc). All case study initiatives promote norms of collaboration and sharing on the basis of principles of equality, inclusion and transparency.

All these initiatives aspire to certain qualities of relations and make active efforts to create the contexts in which these can thrive. However, the question of whether and to what extent they succeed remains open and needs further analysis. One of the key findings in a recent special journal issue on 'shared machine shops' argued that 'sharing is not happening' in Fab Labs (Troxler and Maxigas 2014). Evidence indicating that the objective of social connection is achieved through the building of friendships, networks and social trust, is actually quite mixed (Schor, 2014). Further in-depth exploration of the extent to which a shift in the quality of social relations is achieved, and of the processes that lead to the successful resolution of tensions, is needed.

## 5. Findings 3: New economies, challenging institutional constellations?

So far, we have discussed how our networks under study relate to narratives on new economies, and how they aim to create new, more ‘social’, economic relations. We now turn to discuss the transformative potential of these initiatives, in terms of how and to what extent these networks and local initiatives challenge the mainstream societal context.

While the impact of these initiatives on the dominant economic systems seems marginal or at least difficult to prove at present, we can observe already that they challenge the economic system indirectly, through their counter-narratives (section 3) and by demonstrating alternative forms of social relations (section 4). In this section, we furthermore argue that the networks and local initiative under study also challenge the institutional constellations underlying the current economic system.

To conceptualise institutional constellations, we base ourselves on the Multi-Actor Perspective (Avelino & Wittmayer 2014), which is inspired by the Welfare Mix model of Pestoff (1992) and Evers & Laville (2004). The Multi-Actor Perspective (MaP) identifies three main institutional boundaries: public vs. private, non-profit vs. for-profit and formal vs. informal. On that basis, it distinguishes between the following four ‘institutional fields’: (1) the state (formal, public, non-profit), (2) the market (formal, private, for-profit), (3) non-profit organisations (formal, private, non-profit) and (4) community (informal, private, non-profit). Across these different fields, there is an intermediary ‘Hybrid Sphere’, which mediates and crosses institutional boundaries (including, for instance, social enterprises, which cross the boundaries between for-profit and non-profit)<sup>33</sup>. Each institutional field harbours multiple actor roles (see figure 1 below).

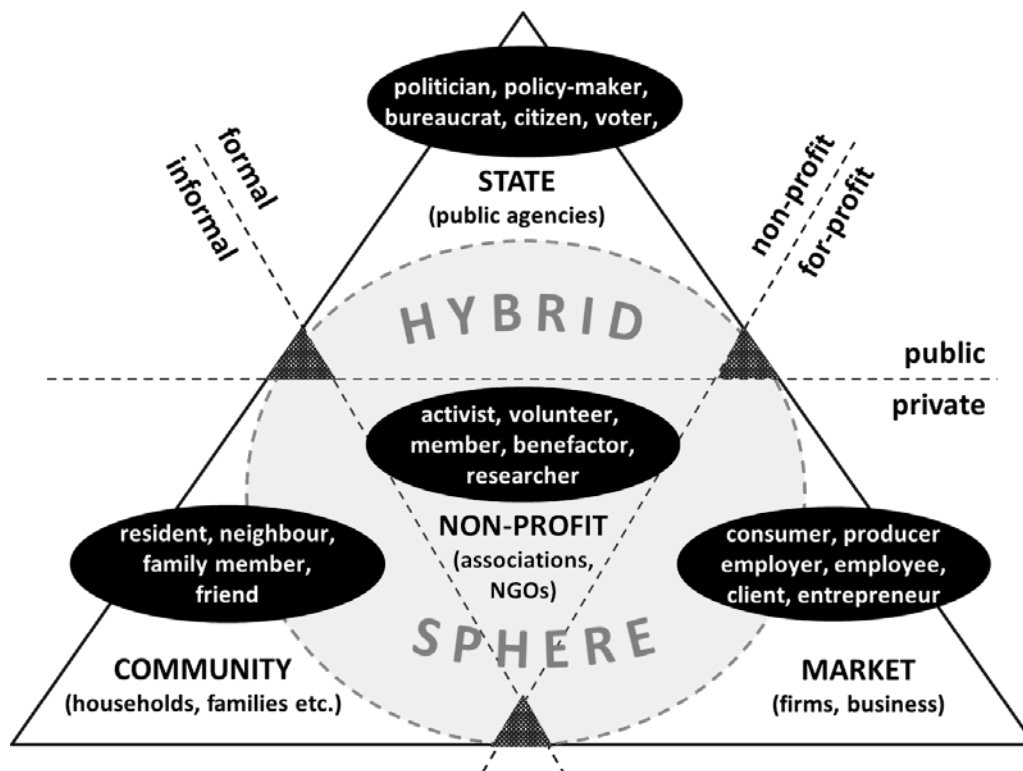
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<sup>33</sup> The Hybrid Sphere in the original Welfare Mix model is referred to as the “Third Sector”. We choose to call it the Hybrid Sphere to avoid discourses in which the Third Sector is equated to the non-profit or voluntary sector. This MaP has similarities with the common distinction between ‘state’, ‘market’ and ‘civil society’, but adds an unpacking between the informal community and formalised non-profit organisations. We find this distinction between formal and informal particularly pertinent in new economies and social innovations, because the interaction between informality on the one hand and formalisation on the other hand is often at the core of many discussions and tensions. Moreover, the explicit inclusion of a Hybrid Sphere in the Multi-Actor Perspective is useful to acknowledge the existence of initiatives, organisations, sectors and domains that explicitly cross institutional boundaries, e.g. social enterprises, science, education, religion, media, health care. Each of these sectors/domains come with recurring political debates about which institutional logic they (should) ‘belong’ to. The same applies to many of our cases. While it is often argued that social innovation comes – or should come – from the community or from the non-profit sector (Mulgan et al. 2007), we observe that social innovation can come from anywhere, and more importantly, in between anywhere.



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Figure 1. Multi-Actor Perspective (Avelino & Wittmayer 2014, adapted from Pestoff 1992)



## 5.1. Challenging institutional boundaries

Most of the networks we have studied are ‘part of’ the non-profit sector, in the sense they are formalised as non-profit associations, foundations or other type of network organisations. However, when we look at how these networks operate, both transnationally and locally, we can observe clearly that the networks operate at the intersection between different sectors and institutional logics, and more important, that they act to redefine and renegotiate the boundaries between those sectors. As such, the boundaries between these sectors are not black and white – they are very much blurring, shifting and contested boundaries that are continuously negotiated. A concept like ‘sharing’, for instance, means different things in each of the different institutional logics, is driven by different motivations and has differing interpretations and implications (e.g. ‘tax evasion’ from a state perspective). As such, there is also a renegotiation between different sectors on what a concept like sharing means and how different sectors can hold each other accountable for ‘sharing practices’.

A typical example of boundaries being blurred lies in the awkward notion of ‘not-for-profit’ as a category in between for-profit and non-profit (Moulaert & Ailenei 2005). This not-for-profit category is often associated with cooperatives and social enterprises, who do make profit, but not as their primary goal. The awkward term ‘not-for-profit’ nicely illustrates that there is a renegotiation between boundaries, a search for changing institutional relations. Many of the networks that we study play an important role in such processes of (re)negotiation.

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For instance, **Time Banking** in the UK was involved from its inception in a dialogue with public authorities to clarify the fiscal status of time exchanges. This has led to formal recognition by the authorities of time exchanges as being equivalent neither to employment nor to volunteering, but rather as constituting a different class of activity. On this basis time banking activities are not subject to taxation and those claiming job seekers allowance and some (but not all) categories of welfare payments can participate in time exchange without risk of losing benefits (Weaver et al. 2015).

The **Impact Hub**, working with notions of social entrepreneurship and social impact economy (section 3), explicitly challenges the distinction between for-profit and non-profit, aiming to combine for-profit entrepreneurship (i.e. making a living) with non-profit societal goals (e.g. sustainability, poverty reduction, environmental protection, etc.). For many entrepreneurs that come to the Impact Hub for the first time, this is reported to be one of the main empowering insights, i.e. that it is possible to combine the two:

*"A lot of people think that you have to make a choice, it's either choosing for something that is good and (...) not being able to sustain yourself, or choosing for something which is destroying the world a little bit more but you can make a living with that. And I see people coming in here and slowly waking up and lightening up and seeing (...) that you can actually combine the two. And it's possible, it's not some kind of a fairy tale." (Member Impact Hub Amsterdam, interview 4 quoted in Wittmayer et al. 2015).*

The blurring of the boundaries in the context of the Impact Hub is also exemplified by the way in which the role of individual actors is constructed: as 'members', 'change-makers', 'hosts', and 'social entrepreneurs' (rather than 'producers', 'consultants' 'managers' , 'employees', 'service-providers', or 'clients'). In relation to that, there also seems to be a sense that the emergence of such new constellations of actors is challenging the power of the market, both that of large companies and investors. As formulated by members of the Impact Hub São Paulo:

*"Nowadays it is really easy to open a company in a shared economy model (...). The power today is with the entrepreneur and not with the investor" (Member Impact Hub São Paulo, interview 14 quoted in Wittmayer et al. 2015).*

*"Relations with work are totally different: careers focused on new values, which are autonomy, freedom, welfare, investment in learning rather than in security... [There is] Zero fidelity with companies (...) [Even when] not entering a company, you have an alternative to earn money as a start-up, so even if you want to make money, soon and enough, there is another system there. (...) It will be very difficult for the companies (...). The companies have no idea of what to do" (Member Impact Hub São Paulo, interview 15 quoted in Wittmayer et al. 2015).*

The **Fab Lab** phenomenon puts into questions several institutional logics by providing innovative capabilities to citizens. One instance is the educational work within Fab Labs that aims to challenge the relation between formalized knowledge provided in current educational system and more informal knowledge developed within Fab Labs. Such informal knowledge manifest itself through the network actors' ambitions of wanting to create '*the world's first global distributed university*'

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with no real ‘infrastructure apart from services, networks and people’ (Transnational networker B, interview, 28<sup>th</sup> August 2014) and with peer-to-peer learning aims.

*“My desire is that it [the network] ends up as a global distributed university... an incredible outcome to an experiment that is going to say that education is being disrupted...”*  
(Transnational networker FabLabs A, interview quoted in Hielscher et al. 2015).

The **Living Knowledge** network also challenges institutional constellations around education, in particular those of higher education and science. Higher education institutions (HEI) are often expected to carry out a “third mission” (Jongbloed et al., 2008), mostly associated with community engagement, outreach, or community-based research. Even though the rise of neo-liberalism - and the accompanying requirement for commercialisation of knowledge - increasingly have moved focus to partnerships with industry (Brennan and Naidoo, 2008), traditionally the third mission has been, and often still is, a one-way relationship, with a strong charity character and ‘enlightenment mission’ (Haywood and Besley, 2014). The **Living Knowledge network** of science shops has aimed to develop alternative relations between science and citizens, which are more equal and mutual, emphasising a type of partnership where knowledge is co-produced, and where the community influences the research agenda. As such, institutional boundaries between the community and the traditionally Third Sector status of education and research are being challenged.

Existing institutional constellations are also challenged by the **INFORSE** network in the domain of energy. The Danish local INFORSE initiative OVE started making it possible for people to produce their own sustainable energy, and connect to the grid. For this, OVE fought with both the energy companies and the state concerning the rules for getting local electricity on the national grid. In the early 1980s, OVE also fought with the state and the energy companies concerning the complex rules for owning wind turbines (including a maximal distance between the wind turbine and the owner’s house), concerning local consumption and concerning the tariffs (Tranaes n.a.). Today, the focus is on trying to find new ways of using local energy co-operatives to create an economy in deprived local communities (VE 2014). The increased share of wind generated electricity in the grid causes new controversies concerning taxes and tariffs related to ‘surplus’ electricity.

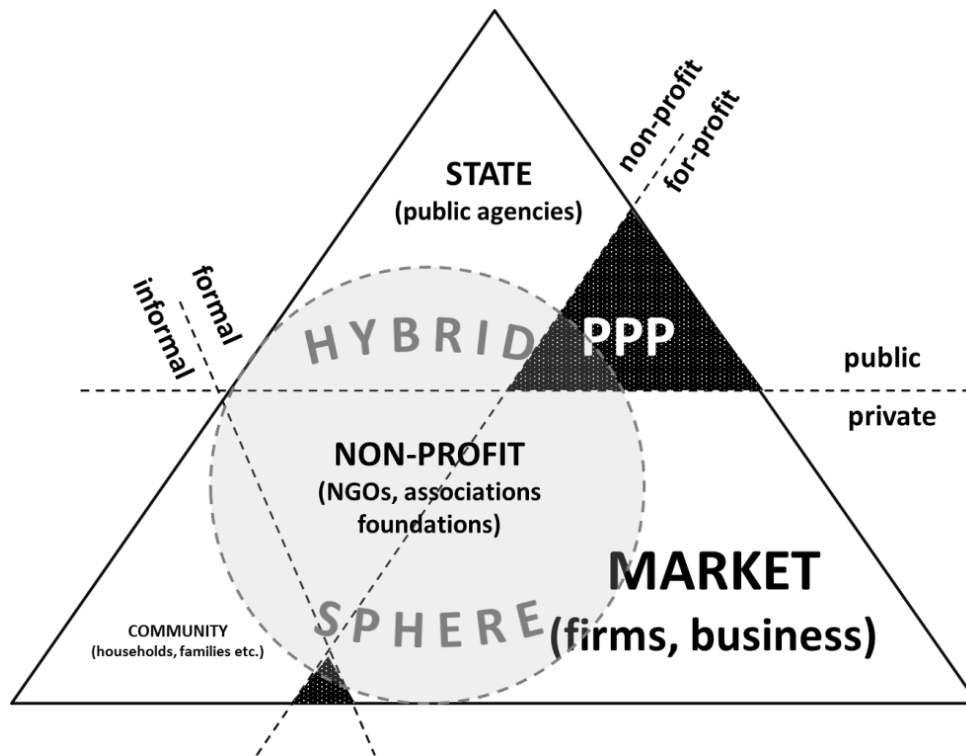
## 5.2 New economies and the neo-liberal agenda

Many of the critical debates and concerns about social innovation and new economy are related to the observation that power relations between the different sectors and institutional logics is far from ‘equal’. We can argue that the state logic and in particular the market logic have become very dominant in the past decades. With societal challenges and trends such as the economic crisis and welfare state under pressure, we can observe that the hybrid sector, challenging existing institutional boundaries, is increasing. This could be seen in terms of an emergence of new economies as an integrating, hybrid domain, which is transcending the traditional separations by blurring and mediating across the boundaries between the traditional sector logics, as well as including elements and roles from all of them. We could even argue that we can begin to observe the emergence of a ‘parallel’ or ‘shadow’ economy, in which new economies – mostly part of the

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'Hybrid Sphere' – are rising in parallel – and/or often in explicit opposition to – the market economy (see figure 2 below).

Figure 2. Shifts between Institutional Fields (Adapted from Avelino & Wittmayer 2014)



Within this context, there is a growing concern that a phenomena such as 'sharing' through organisation such as AirBnB and Uber is not about the informal community economy becoming larger, but quite the opposite; i.e. about the commercial market logic becoming even bigger and ever more so penetrating the informal sphere, even entering one's bedroom and one's car. There are also concerns about the rise of the informal economy (i.e. black market) and reactions against some innovations by established interests that feel threatened by new competition. Many such critical questions and concerns on the new economy seem to revolve around the distinction between community vs. market, non-profit vs. for-profit, formal vs. informal.

Several of our networks seem to be confronted with such tensions and concerns regarding the politics of 'new economies', in particular in terms of their ideas being 'hijacked' by neo-liberal or commercial agendas. In the case of the Fab Lab network, for instance, there has been an increased interest from governments and companies (i.e. large cooperations such as Airbus, Nike and the World Bank) over the last few years. Often it is hoped that labs might create jobs and increase people's entrepreneurial spirit. Several network actors have foreseen potential tensions between the community and commercial activities within labs, including distinctions between for-profit and non-profit endeavours. Labs might run the risk of not being able to open up the lab for the public if they engage too much in commercial activities, whilst in the process sacrificing some open-source values and peer-to-peer sharing activities that relate to ideas of developing a new economy.

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*"I think, we will need to deal with more ethical considerations in the future and what the ethos of the Fab Lab is and will it further our mission to get funding from these sources and then report back to them and change our plans to match what they want to do. But on the other hand, there are very large amounts of funding that wouldn't be possible otherwise and so there's a whole bunch of potential for new projects, new initiatives, and larger-scale collaborations" (Transnational networker A, interview quoted in Hielscher et al. 2015).*

Also in the case of the **Impact Hub** network, there are similar and explicit concerns about cooperation with government and mainstream business:

*"If we allow a significant flow of money from the government without making sure we have the right relationship, it would skew the overall dynamic of our community. So honestly, that's why we are rather staying away for now. Because also the level of business we can develop for now is not yet big enough to be able to play with the level of resource that they can invest. So then the risk we perceive there is that their capital would take over the power dynamic. (...) Second in line would be with corporates, mainly because corporates are great at growing and scaling things, but not so great at enabling starting innovation. So in fact they are great at stifling innovation. (...) So we have to be careful about not having them influence too much this early stage innovative approaches. (...) The downside of that struggle is that both corporates and governments sit on really important resources and really important data, really important ideas. It's quite slowing down, the way we work with them to create that connection, because we need to make sure the power dynamic doesn't get quickly squeezed in their favour." (Member global Impact Hub team, interview 8 quoted in Wittmayer et al. 2015).*

Within the **RIPESS** network, there is a certain suspicion regarding alternative economies that mainly reproduce neo-liberal order, such as the individualistic concepts of social entrepreneurship and micro-credits. RIPESS is united through the basic understanding that the economy should work in the service of people and planet, and not in the service of the few shareholders or just its own sustained operations. The critique is thus that economic practices have become disconnected from civil society norms and public control, and from sustainable ways of subsistence on the planet. The various RIPESS initiatives are therefore trying to bring in again what has been excluded from economic practices (social relations as summarized under 'solidarity'), and seek to do so in institutional contexts in which governments are sometimes sought as allies, and sometimes rather avoided as representatives of neo-liberal order. The solidarity-based economy principles of RIPESS are ventured in various political-economical-cultural contexts. The latter implies for example that African and Latin American SSE practices often develop in contexts of weakly developed institutions and developing welfare states, whilst European practices often develop in the context of well-developed and sometimes even declining welfare states. In the first context, informal economies and parallel systems such as micro-credits and cooperatives are typical practices, in the second there are the practices of social and sheltered workspaces (involving labour subsidies for socially beneficial not yet marketable activity) and alternative banking (asserting the wealth and power of responsible consumers/civil society). In the European and Northern-American contexts, welfare state reform and restructuring is widely considered inevitable in the face of current societal developments. Especially the passive role of welfare benefits recipients is widely considered untenable – in Belgium, for example, social workspaces have actually been supported

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by a governmental reform towards a so-called 'active welfare state'. The current stimulation of social entrepreneurship, as self-supporting rather than subsidy-dependent activism, similarly reflects broader institutional change in which the alternative economical 'niches' are not to end up as market-disturbing silos (Pel & Bauler 2015).

## 6. Conclusions

This paper has addressed phenomena of new economies from the perspective of transformative social innovation. We used the term 'new economies' to describe a broad set of related and intertwined ideas that emerge from critique of mainstream economic theory and existing economic practices and reflect visions about prospective or emerging alternative or complementary economic theories and practices. We distinguished and discussed four main strands of new economy thinking: (1) degrowth and localisation, (2) collaborative economy, (3) solidarity economy, and (4) social entrepreneurship and social economy. We then empirically discussed how 12 social innovation networks and local initiatives relate to these new economy strands. For this empirical discussion, we focused on three specific dimensions to examine the networks and initiatives under study: (a) their **narratives of change** on new economies, (b) their creation of **new social relations** as underlying new economies, and (c) their **challenging of dominant institutional constellations** in the existing economic system. In this conclusion, we aim to synthesise the answers to these questions, as well as formulate challenges for future research.

### Narratives of change on new economies?

We found that all social innovation networks under study relate to different and new forms of economy, either by referring explicitly to one or several of the new economy strands as outlined above, or by using different terms, thereby co-shaping existing and/or new 'narratives of change' on new economies. Most straightforward are the explicit references to the four strands: degrowth & localisation (e.g. Transition Towns), collaborative economy (e.g. DESIS), solidarity economy (e.g. RIPESS) or social entrepreneurship (e.g. Ashoka, Impact Hub) and social economy (e.g. RIPESS). However, we also see that networks refer to other terms and accompanying narratives, such as peer-to-peer economy, distributed economy or knowledge economy (e.g. Hackerspaces), social impact economy (e.g. Impact Hub), open source circular economy (e.g. FabLabs), and post-capitalism (e.g. Global Ecovillage Network).

These narratives of change interact with game-changers such as the global economic recession of 2009: narratives respond to such game-changers, while at the same time (re)framing them. None of the narratives on 'new economies' as observed in our case-studies are entirely 'new', nor are they explicit 'responses' to the economic crisis. However, it seems that the perceived economic crisis has provided these alternative narratives with a 'boost' of renewed interest and opportunities. Our empirical studies demonstrate that several of our social innovation networks strategically and intentionally play into such 'discursive dynamics' and game-changing trends. In doing so, they connect their work to the broader context and engage in reframing societal developments and co-shaping public discourses and debates. It is worth noting that all cases have their own particular stories about what they are doing, and particular ways of relating to their

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social context. Further work is needed to ascertain the particular nuances of the narratives of the initiatives and the people involved in them.

## **New economies, renewing social relations?**

All our initiatives under study involve articulations of new social relations, as an important element of new economic arrangements. New forms of economic exchange entail new social relations as a precondition and influence how new social relations are put into practice. This is done by creating a range of possibilities for their enactment and experience and by generating conditions for those involved to co-produce and learn about different ways of relating. Changes in relationships of production, consumption, and exchange, in the roles of actors and in the distribution of burdens and benefits aim at building a new type of community, mentioned by different initiatives as a key objective of the quest for new economies.

All our case studies of social innovation initiatives promote connectedness and relationships based on trust and authenticity. Some emphasize direct interpersonal relationships of higher (ecovillages) or lower intensity (DESI, credit cooperatives), while others emphasize connectedness through sharing physical and virtual spaces (Fab Labs, Impact Hubs etc.). All case study initiatives promote norms of collaboration and sharing on the basis of principles of equality, inclusion and transparency. They defend a transformation of relations towards collaboration/cooperation instead of competition, towards inclusion instead of exploitation, towards connectedness instead of alienation, and to empowerment instead of passivity.

The values that social innovation initiatives strive to implement in new forms of relating can be framed as deviating from – or even opposite to – those currently underlying mainstream economic systems and business-as-usual forms of relating, which have resulted in disenchantment with existing frameworks and have led to a search for alternatives. Further analysis is needed on the degree to which social relations are in daily practice based on such values and why it may occur that actually practicing these values can be challenging, without implicitly reproducing practices or relations embedded in ‘old economy’ values. Even in more egalitarian organisations, competition, strife and elements of authority frequently exist (which may or may not undermine the integrity of the organisation).

## **New economies, challenging institutional constellations?**

The social innovation initiatives that we studied, challenged the dominant economic system mostly indirectly, through counter-narratives and by demonstrating and developing alternative forms of social relations. Most initiatives seem to focus more on devising alternative possibilities, than on explicitly ‘fighting’ existing economic systems or established institutions. Nevertheless, we observe that the social innovation networks do – implicitly and explicitly – challenge institutional constellations underlying the current economic system, in the sense that these initiatives often operate at the intersection between different institutional boundaries. In section 5, we empirically discussed how the initiatives under study often seem located in a so-called ‘Hybrid Sphere’. Many of them lack a clear ‘institutional home’, struggle for legitimacy and funding, and are often concerned about being ‘hijacked’ by government or business interests (see also Pel & Bauler 2014).

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While this is a considerable constraining factor for these initiatives, we argue that there is also a transformative potential therein, in the sense that these networks are involved in renegotiating institutional boundaries between formal and informal, for-profit and non-profit, public and private, and challenging – or at least questioning established power relations between state, market, community and the non-profit sector.

How and to what extent the challenging of institutional boundaries contributes to actual transformative change of the economic system remains a question for future research. In particular, more research is needed into initiatives and networks (such as e.g. RIPESS and INFORSE) that have a more explicit political ambition to challenge the existing economic system and seek a more open confrontation with established institutions, while at the same time proposing socially innovative solutions. This is one of the challenges that the TRANSIT research project will take up in its next phase of empirical analysis, when analysing additional case-studies, including phenomena such as participatory budgeting as an alternative method for municipal budgeting, basic income as an alternative to existing welfare systems, or the global seed movement opposing the dominant agricultural industry (TRANSIT 2015).

In conclusion, we argue that transformative social innovation is an interesting perspective to make sense of empirical phenomena related to the new economy, and that this contributes to our understanding of “transformative diversity” (Stirling 2014) in sustainability transitions. New economy arrangements (e.g. sharing practices or cooperative organisational forms) seem to play a significant role in various initiatives and networks aiming to contribute to sustainability transitions, or other manifestations of more just and resilient societies. While new economy arrangements certainly include many technological aspects, we argue that these empirical phenomena also deserve more focused and elaborate attention for their deeply socio-cultural and socio-political dimensions. As such, we have proposed to understand ‘new economy’ phenomena as *social innovations*, i.e. as involving changes in social relations and new ways of doing, organising, knowing and framing. The concept of *transformative* social innovation invites us to question the transformative ambitions, potentials and impacts of new economy initiatives and to enquire into the role of such initiatives in challenging existing institutional constellation and enabling transformative change.

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## 3.7 Social innovation towards inclusive societies

**Title:** Transformative change for an inclusive society: what might social innovations contribute?

**Authors:** Paul Weaver, René Kemp, Tim Strasser, Julia Backhaus, Bonno Pel, Flor Avelino

**Timeline:** Will be developed for different target audiences over Spring and Summer 2016.

**Target journal(s):** Submitted: SPRU conference September 2016

**Extended abstract:** working paper version

Abstract:

Our societies experience challenges of inclusion and cohesion and suffer (evidently) from multiple problems associated with exclusion across economic, social, political and many other dimensions. The challenge of building more inclusive societies is recognised at highest policy levels. The Europe 2020 Strategy has smart, inclusive and sustainable growth as its overarching aim, for example. Yet, against the backdrop of a widening and intensifying set of inclusion challenges, conventional inclusion policies, until now based heavily around economic growth, skilling and full employment, are failing to make our societies more inclusive. In this context, it is important to look toward social innovation movements, several of which organise around agendas of inclusion and are critical of mainstream systems and policies, to see what they bring to societal discourse and action on the issues of in/exclusion. This is important especially in relation to mainstream systems that are under stress and struggle to deliver inclusivity, especially the mainstream economy, social welfare systems, and representative democracy, and to inclusion policies of insertion. What insights do Transit Project empirics and theory offer into the potential of our studied social innovations to support transformative change toward more inclusive societies? Can we improve our developing theory of social innovation in relation to transformative societal change by examining social innovation cases through a lens of in/exclusion? What distinctive contribution does this particular lens offer to empirics and theory?

### 1. Introduction

The overarching objective of the EU 2020 Strategy – inclusive, sustainable, smart growth – makes explicit that “inclusion” is a policy priority at the highest-level of EU policy making. It is equally a priority of policy making at the level of Member States. National policy goals, policies, programmes and budgets are mobilised to engage European citizens in the bedrock systems of our established societal architecture: the market economy, the system of state welfare (accessible through wage working and contribution payments), and the regime of representative democracy (which depends for legitimacy on citizens’ commitment to voting). Inclusion is also a central concern for several social innovations and, for some of these, promoting inclusion and/or combatting exclusion are dominant objectives and even existential justifications. For such social innovation movements the search for more inclusive societal arrangements is a major motivating and unifying force, both a transformational goal and an organising principle for activities.

Several social innovation movements with transformative societal change ambitions thus refer to and use the inclusion/exclusion concepts in setting out their aims and defining their activities. Among the TRANSIT social innovation these include Credit Unions (providing more inclusive access to credit and finance), Living Labs (providing support for more inclusive innovative actions

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and citizen science), FabLabs and Maker Spaces (both making new technology more accessible and inclusive).

However, social innovation movements frame the concepts of inclusion/exclusion differently from how they are framed and used by mainstream actors, especially in terms of which exclusion problems they perceive, how problems are constituted, how they are caused, and how they might be addressed. How social innovation movements perceive the dominant societal systems and 'ways of doing' typically also differ substantially from establishment perspectives. Social innovation movements are also often critical of dominant inclusion policies. It is therefore important to explore differences in how social inclusion/exclusion issues and policies are framed and how key societal systems and activities are perceived by the different parties, as this might offer insight into what 'exactly' is the target for transformative change in the respective perspectives of the different actors. It might offer insight also into the transformative potential of social innovation movements, how potential is constituted, and what might be needed to translate potential into impact.

To make progress using 'in/exclusion' as a lens and probe, there is a need to focus on a subset of social innovation movements. The choice made here is to focus on three cases: timebanking, participatory budgeting, and basic income. These are chosen because together they constitute a cluster of cases that offer intersecting critiques of the market economy, wage-working, the financial and money systems, state welfare systems and representative democracy. In turn, these are bedrock elements of the dominant societal infrastructure and dominant modes of organisation through which society delivers wellbeing, welfare and social security. Importantly, not only are these dominant systems criticised by the social innovation movements, but their capacities to deliver inclusive wellbeing, welfare, and social security are being impacted by macro-scale trends and by mechanisms that interconnect these systems in ways that threaten to undermine their stability and sustainability.

Our three chosen social innovation cases are also seen by some within the social innovation movements and by analysts to offer potential synergies in addressing different aspects of exclusion/inclusion. All three of these social innovations seek greater inclusion, but in different ways: opportunities for everyone to be productive and to be recognised for the contributions they make to welfare and wellbeing whether or not this is in the formal market economy (timebanking); opportunities for inclusive and direct participation in public decision making (participatory budgeting); and opportunities for everyone to be free from poverty, free from enforced wage working, and free to use their time in ways they find most meaningful and fulfilling (basic income). All are versatile innovations in that the solutions they propose can address many issues and challenges and can appeal to many different stakeholders and interests for many different reasons. They nevertheless can be seen as threats to some establishment institutions and to interests vested in these; e.g. to established jobs, established decision making roles, and to established systems of social control and social order.

Through the lens and probe offered by the concept of 'in/exclusion' we seek to complement other analyses of Transit social innovation cases that are using other concepts and entry points to explore the potential of social innovations. In the present paper we ask four core questions. What insights do Transit Project empirics and theory offer into the potential of social innovations to support transformative change toward more inclusive societies? What form might these



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contributions take? Can we improve our developing theory of social innovation in relation to transformative societal change by examining social innovation cases through a lens of in/exclusion? What distinctive contribution does this particular lens offer to empirics and theory?

To address these questions, the paper draws on the literature and policy references concerning the meanings of inclusion and exclusion in relation to dominant societal structures, systems, and mechanisms (Section 2). This provides a basis against which to explore how our different case study social innovations interpret in/exclusion, how this is reflected in their critiques of dominant systems and policies, and how it frames their theories of change, their transformative ambitions, and their strategies (Section 3-5). It also provides a basis for comparative analysis and reflection on the transformation journeys to date of our case social innovations and for addressing our core questions (Section 6).

## 2. Social inclusion and exclusion

The concepts of social in/exclusion in contemporary policy making have their origin in French policy discourse in the 1970s. Lenoir is credited with authorship of the concept. He spoke about groups he saw as 'excluded' from (French) society. Nevertheless the philosophical roots of the in/exclusion concept go back much further than this. Rawal (2008) argues they are traceable to the functionalist social theory of Durkheim. Writing at the turn of the 20<sup>th</sup> Century, Durkheim was concerned with social dislocations in the transition from agrarian to industrial society and with related questions of how social order and stability could be maintained in the context of such upheaval. From these origins the concepts have spread and achieved much wider policy prominence. According to Rawal (2008), this owes largely to the concepts being adopted by the European Union in the context of the crisis of the welfare state and becoming central elements of EU social policy where, Rawal argues, they have come largely to replace the concept of poverty.

As the 'in/exclusion' concept and its use have spread, interpretations and meanings have diversified such that the concept is now employed to describe a multitude of situations and processes. Indeed, despite featuring prominently in policy making, there is no universal definition or use of the concept. Part of the definitional difficulty is that inclusion is a relational concept. It is definable only in relation to other aspects of the context in which the concept is used; for example, in relation to who is included or excluded, what they are included in or excluded from, how they are included or excluded; i.e. the basis or mechanism of the in/exclusion. At issue, is that there are many alternative ways of theorising in/exclusion, and therefore also of framing how these questions are addressed.

In seeking to make the in/exclusion concept more useful for empirical analysis, Aasland and Flotten (2000) proposed a set of living condition variables as proxies. These include: exclusion from formal citizenship rights; exclusion from the labour market; exclusion from participation in civil society; and exclusion from social arenas. This also establishes the multidimensionality of the concept and helps explain its relation to poverty and to anti-poverty policy. Francis (2000) stresses that the strength of the in/exclusion concept relative to poverty is that social in/exclusion considers deprivation in a number of spheres, whereas poverty is considered primarily in economic terms; i.e. low income, lack of a paid job, material deprivation, etc. However, poverty as a concept has also been the subject of significant re-conceptualisation. Sen, for example, takes a values-based approach and offers a general perspective on poverty as capability failure (Sen, 2000). In that perspective he discusses the relation of the in/exclusion concept to poverty and

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concludes that social exclusion can be *constitutively a part* of capability deprivation as well as *instrumentally a cause* of diverse capability failures (Sen, 2000).

An important contribution in helping to understand how different interpretations of the in/exclusion concept influence policy making is offered by Hillary (1994, 1995). Hillary explored how, in the process of the concept becoming adopted in different national contexts, different meanings have become imparted to the term. She distinguishes three paradigms under which the concepts are differently understood and used, each associated with different theoretical perspectives, political ideologies and national discourse. She terms these paradigms as ones of solidarity, specialization, or monopoly. Each paradigm takes a different perspective on the constitution, cause and cure of exclusion. These are summarised also in Rawal's paper (2008).

The solidarity paradigm derives from French discourse and (Republican) thought. Under this paradigm, social solidarity arises from shared values and rights and is taken to be the normative ideal. Exclusion is theorised as the breakdown of social solidarity. The solidarity paradigm stresses the role of socially constructed dualisms in ordering the world. These arise from cultural and moral distinctions between groups. Thus, 'exclusion' (and also deviance) both threaten social cohesion and reinforce it. In his summary, Rawal notes that in this paradigm "*the inverse of exclusion is 'integration' and the process of attaining it is 'insertion', which implies 'assimilation' into the dominant culture*" (Rawal, 2008, p167).

According to Rawal (2008) the concept of social exclusion as it emerged and developed in France and was taken up in European policy making has largely been concerned with "the effect of failure of integrative institution." In similar vein, Aasland and Flotten (2000) argue that when the concept was first employed its central concern was with "*people unable to adjust to mainstream society*". Although there are variants of the social integrationist discourse, which accept group differences to a greater or a lesser degree, inclusion in the understanding of this paradigm is about solidarity, conformity and the societal interest transcending all other interests; individual, specific group, regional, etc. This approach stresses the need for compliance with mainstream society and its institutions.

The Anglo-Saxon world by contrast operates around the concept of social differentiation. Anglo-Saxon liberalism assumes that individuals differ and celebrates both difference and diversity as strengths. Difference becomes reflected in specialization in markets and social groups. Social order is, thus, "*the outcome of voluntary exchanges of rights and obligations and the separation of spheres in social life*" (Rawal, 2008). Under the specialization paradigm "*exclusion is a form of discrimination, which arises when individuals are denied free movement and exchange between spheres, when rules inappropriate to a given sphere are enforced, or when group boundaries impede individual freedom to engage in social exchanges*". Exclusion in this understanding is combatted by protecting rights, anti-discriminatory measures, and enabling free exchange.

A third paradigm draws on the social theories of Marx and Weber who frame exclusion "*as a consequence of the formation of group monopolies, with resources controlled by hierarchical and exclusive networks*". This monopoly paradigm "*views the social order as coercive, imposed through a set of hierarchical power relations*" and "*exclusion as arising from the interplay of class, status and political power*." Exclusion is viewed as serving the interests of the included. *Those excluded are*



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*simultaneously outsiders and dominated*". In this perspective, exclusion can be countered through citizenship and the extension of equal membership and full participation in the community.

Formal inclusion policies reflect these different paradigms and the different understanding they offer about the nature and organisation of society, the relationship of individuals and groups to mainstream societal systems, and the nature, causes and cures of exclusion. The dominant policy approaches are based upon the solidarity and specialization paradigms. While differing in their perspectives on society as ideally homogeneous or diverse both of these paradigms have in common the idea that unemployment – the lack of a paid job – is a fundamental element in economic and social exclusion and can be combatted by policies that support economic growth, full employment and people skilling. Having a paid job is seen as the key to being an active member of society, since this simultaneously enables (directly) economic and societal participation, delivers income that frees people from poverty, and triggers financial contributions in the form of taxes and social security charges, which support the social security system and professionalised state welfare system to the benefit of the individual and society. A significant disadvantage of this approach is that it tends to categorise and label people according to employment status, heightens fear of job loss (and therefore induces additional rigidity into labour markets), stigmatises those not in a paid job (the inactive, benefits claimants, NEETs, etc.), and therefore can add to division and polarisation in society.

### 3. Timebanking perspectives on 'in/exclusion'

Time-banking is a values-based mechanism for reciprocal service exchange within a local community. All services in time-banking, however simple or sophisticated, are valued equally: the unit of exchange and account is the hours spent giving or receiving services. From roots in post-war Japan (where time banking emerged as a response to post-war breakdown of pre-war institutions, including the economy, state government, fiat money, physical infrastructure and families) and later the US (where time banking emerged in poor communities as a response to the ending of the 'war-on-poverty' program), time-banking has spread to all continents. Within countries, individual time banks are often organized into local, regional or national networks, sometimes under the umbrella of membership organizations. There are also transnational networking organizations. These develop and offer software platforms to record service exchanges. Our case study has explored the transnational time-banking organization (hOurworld), which supplies its Time&Talents software to time banks free of charge, and local manifestations of time-banking organizations in the UK (TBUK) and Spain (Health & Family). Timebanking was brought to the UK from the USA on the initiative of individuals. In Spain, however, timebanking was introduced from Italy, in the context of an EU-funded international collaborative learning project.

The transformative ambition of the time-banking movement is reflected in a set of counter-narratives. Timebanking is advanced as a response to failures in the monetary system, the formal economy and economic globalization, which are seen to exclude and to marginalize. In Spain, time-banking has been linked to the women's movement, both from the perspective of elevating the status of women and of domestic work and of seeking a healthier work-life-home-community balance. Time banks have been framed in all three areas we studied as a response to game changers such as economic downturn, unemployment, lack of opportunity, skills gap, austerity, migration, population ageing, and retreat of the welfare state. This reflects the versatility of the mechanism and the capacity to argue the case for time exchange systems as a response to many

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different 'crises' and issues and to shape and direct lines of argument in relation to emerging issues.

Time-banking has a well-developed conceptual basis, worked out by its pioneers. The principle of inclusion is among its core values and principles. Others are: equality, mutual respect, reciprocity and abundance. Timebanking stresses an asset-based approach where the time and talents of people are assets and where everyone has something to offer and contribute. Timebanking proponents contrast their asset-based approach to people with the ways they perceive people are regarded and treated by mainstream societal systems, which *de facto* label many people as superfluous or as problems because they only have needs and only impose demands on overstretched welfare systems and professional providers. This is best summed up by their reference to the way competition in the job market leads to many people being excluded from work, income and a role in society. From the timebanking perspective, the competitive job market is part of a 'throwaway' economy that rejects people just as it rejects materials and pollutants. Timebanking proponents also see the source of high demand on welfare services, such as demands for health care, as lying, in part, in the social and economic exclusion that they consider is intrinsic to the organization, mechanisms and operation of mainstream societal systems.

Our interviews with leaders of the timebanking movement reveal their concern that values critical for the wellbeing of people and security of society, such as inclusion, are crowded out by the market economy, welfare state and other societal systems, which operate on different values and logics. Time-banking protagonists see time exchange as a mechanism for (re)embedding these values into society through relationships formed by time exchanges. The values and asset-based approach of timebanking are seen as personally- and community-constructive in that they provide for people and communities to become individually and collectively more self-reliant. People, their abilities, their time, and human relationships (inclusion, cohesion, mutual respect, and reciprocity) are seen in timebanking as true sources of wealth, wellbeing and security, not money.

Time banks manifest social innovation by the creation of a time bank as an activity space and by developing new communities of members who adopt and practice time-banking values, such as inclusion. Exchange is open to anyone willing to practice these values and is based on members offering time- rather than offering money, exclusive skills or qualifications- in processes that coproduce services and create relationships among time bank members. Lack of money, skills or qualification is not, therefore, an impediment to participation. Neither is any aspect that sets one individual apart from another, such as ethnicity, faith, gender, sexuality, disability or personal history. By virtue of its foundational principles, timebanking seeks to be inclusive and non-discriminatory. In timebanking, everyone is considered equal, everyone has something to offer, and all time bank members are valued equally because their time is valued equally.

In bringing time-banking to the UK from the US, Martin Simon and David Boyle state they were "*searching for something capable of reviving the core economy*", by which (following from Goodwin) they mean those aspects of family and community life not provided for by the formal (money) economy. The leaders of hOurworld state their position and ambition: "*We are social architects who believe that people are the true wealth of the world.*"

In terms of systems innovation time-banking has a strong potential to contribute to creating parallel collaborative and sharing economies and is positioned well to respond to the failings and

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retreat of the welfare state both by contributing to a 'preventative infrastructure' in areas such as mental and physical health, education, social solidarity and cohesiveness and by organizing otherwise un/underemployed labor and directing it toward delivering personally-empowering and socially-useful services, such as providing care in the community. Through our observations and interviews we found evidence that time bank membership extends across a wide diversity of individuals, that membership and activities cover a broad spectrum of social groups, and that they provide services to people across a wide range of ages. In the UK there are also thematic time banks organized around activities that involve ex-offenders, former substance abusers and those with mental health issues.

Timebanking therefore does appear to offer scope to engage all members of society in co-producing their own welfare and in helping provide for the welfare of others, transforming them from service users to service co-producers by enabling them to contribute in kind (through their time) toward service delivery and not just through money contributions that are only possible if the concerned individual has a paid job. This offers scope to be more inclusive and also to provide potentially better welfare services at lower cost as well as to reduce demands on welfare services at source by offering a preventative infrastructure that avoids problems or stops problems from developing.

Interviews and observations confirmed that time banks are experienced as empowering by many individual members and by community representatives. They help individuals in their self-development, self-confidence and self-esteem by providing opportunities to learn and practice skills and by expanding social networks. The claim that time-banking empowers individuals and communities by reducing dependence on money, markets, or state welfare arrangements is also borne out by evidence.

Nevertheless, the scale of timebanking activities is limited. Both Spain and UK have around 300 banks with up to 250-300 members per bank and despite some year on year variations the broad numbers of time banks and members have remained stable. In the UK it is evident that the time banking movement is not really growing. Rather, the overall population of time banks is held constant because 'births' of new time banks are offset by 'deaths' of existing time banks. It is therefore important to consider possible reasons for this.

The main factor appears to be that there is a limit to the overall funding that is available to support time banks. The situation is also related to scaling considerations. The main approaches to growing the movement taken so far by timebanking proponents involve replication within countries (establishing more time banks within the same country), growing the membership of individual time banks, and supporting the extension of timebanking to other countries. The last of these has proven a successful strategy, but the other two approaches have met with limited success. This appears to be related in part to the need for an active broker or coordinator to support time bank exchanges and to the need this creates for financial support, as brokerage involves high levels of commitment and responsibility and involves skills that would enable a broker to work equally in the mainstream economy. If overall funding to support time banks is limited, this limits the possible number of paid brokers.

By implication starting up new time banks is close to a zero-sum game, since it likely entails withdrawal of funding for a broker elsewhere. Given there is enthusiasm to set up new time banks

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to provide communities not having a time bank with new opportunities, funding is more easily won for new time banks. This has a knock-on negative impact on existing time banks. Growing existing time banks is also not an easy route. Here the brokerage challenge faces a different constraint. As the membership of a time bank grows, the possibility for exchanges expands exponentially and quickly overloads the brokerage capacity. The ratio of brokers to members is therefore not a constant relation. Larger time banks with proportionately more exchanges per member may require a higher broker-to-member ratio, which makes larger time banks with more members and more exchanges more costly than smaller time banks.

A potential solution to this scaling problem lies in the use of technology to relieve brokers of responsibilities that could be fully automated, leaving the broker to concentrate on issues that require human intervention or oversight. Some safeguarding functions are in this category. However, this requires some reflection on the governance of timebanking software. The main international timebanking networking organizations have developed timebanking software systems and platforms. Some software providers charge fees for using their software (e.g. TB USA). Others provide the software to users on a free-to-use basis (e.g. hOurworld). However, proprietary rights over software are retained by the networking organizations even over software that is made freely available for use and even if its users become co-developers. This acts as a brake on software development and on improving software functionality.

Seen through the lens of inclusion there is a need for an open-source timebanking software into which everyone could invest and which could be developed with confidence and surety of permanent and free access. A related possibility is that blockchain technology might be used to provide a programmable cryptocurrency which, used alongside apps giving access to service offers and demands, might provide a substitute to more sophisticated timebanking software or a complement to simpler timebanking software. Developing such technical solutions is therefore a priority if timebanking is to upscale.

## 4. Participatory budgeting perspectives on 'in/exclusion'

As with timebanking in Spain, participatory budgeting in South America was helped to emerge with the support of an EU-funded project. An initial network for participatory budgeting was created within the framework of an EU URB-AL programme. The programme began in 1995 with the aim of supporting exchange of good practices between local government and communities in Europe and Latin America in the knowledge that cities on both continents were facing pressures from citizens over governance.

The political macro context in Brazil was one of transition from a military dictatorship to a democracy with members of a highly motivated and mobilised society, long repressed and whose voices and interests had long been overlooked during the years of dictatorship, demanding social and political change and seeking ways to sustain changes; i.e. to lock-in gains made and avoid any tendency for reversion back to dictatorship. For this reason, it was important to develop coherent (city-wide) responses and to institutionalise these.

In Brazil, Porto Alegre became the centre for experimentation and learning around the concept of participative budgeting. Inclusion was a foundational principle, since the concern was to secure more inclusive processes in public decision making; i.e. to enable a more creative process and to set priorities from a wider range of perspectives and interests, rather than from those of only

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narrow elites. Experimentation in Porto Alegre put a spotlight on the city, making it a prominent actor in the movement and in disseminating the concept to other cities and countries.

In the Netherlands – and specifically in Amsterdam – participatory budgeting emerged rather later and from community foundations. It is organised around initiatives operating at neighbourhood level and not across the whole city. The participative budgeting concept was introduced to Indische Buurt, a district of Amsterdam, in the context of the 2007 economic crisis and of ensuing government budget cuts, which stimulated an accompanying discourse that brought the relationship between government and citizens into question. This discourse of discontent, disillusionment and dissatisfaction over the relationship provoked interest around ideas of the need for more active citizenship, participatory society, ‘big’ society, and participatory democracy. Participatory budgeting, within this grouping, is one (of several) approaches to participatory democracy, but in Indische Buurt it has emblematic significance.

In Indische Buurt, participatory budgeting has become a main tool through which citizens seek to address and newly define the relation with their representatives and through which citizens can gain influence on local policy making. Important themes here, which link to inclusion, include the desire for a greater direct involvement of citizens in decision over budgets and investment priorities, for a wider diversity of perspectives, interests and ideas to enter into public decisions relevant to the lives of those living in a local neighbourhood, and for greater transparency and accountability (openness) in public decision making. Inclusion of citizens in decision processes directly supports autonomy and is linked to distrust of elected representatives and of decision processes widely perceived to be in the interests of an elite few, self-serving, or corrupt. In effect, this was a response to a combination of crises – an economic crisis that led to austerity measures and an associated crisis of representative democracy – that forms part of a wider movement with transformative ambition to revitalise democracy.

The transformative ambition of the participatory budgeting movement and its development over time are traceable through the minutes (so-called letters) issued at the end of network conferences. These refer to growing disenchantment with politics and a need, not for less democracy, but for more (and more effective) democracy. The solution proposed is to radicalise democracy, to issue calls to action for greater citizen engagement (using ICT for this) and to create arenas for practicing participative budgeting in cities. Strategies for capturing the transformative potential of the innovation have focused on cooperation among local initiatives, learning from experience in each context, and sharing experiences through network conferences and using ICT. At the start, there was an ambition to create observatories to oversee and monitor experiences, but gradually this has been found to be expensive and unnecessary. Experiences and examples of successful practice are, in any case, brought to wider international attention through competitions held in parallel with international conferences of the transnational network, so social learning now takes place without the need for formalised and costly observation processes. The only remaining observatory now is that at Porto Alegre.

Seeing that there are many citizens and communities of citizens around the world who are (in the words of our interviewees) “outraged” and frustrated with political systems in their countries and contexts but which are also fragmented, provides the basis for the strategy of “gathering” these together using ICT to organise protagonists in *“a fragmented action, multifaceted, with hundreds of causes that mobilise a crowd, which is the expression of thousands of individuals”*. In this sense,

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diversity is seen by the movement as a potential source of strength and a movement can be created and empowered by gathering together and including many different disaffected groups within a horizontal networked structure to create a fragmented action but with a shared interest and agenda among protagonists to secure processes and systems of direct participatory decision making.

## 5. Basic Income perspectives on 'in/exclusion'

The concept of 'basic income' concerns people's rights. Its proponents argue that basic income should be paid as of right to citizens, as individuals, unconditionally and universally. Although this is not always specified in definitions, many proponents also promote a basic income high enough to cover basic needs and allow social participation, while acknowledging the amount needed for this would vary between countries. The concept is therefore distinguished in the perspective of proponents from most existing schemes and instruments of financial support, which are conditional (e.g. on employment or income status) or which support families not individuals (e.g. family allowances). The mode of financing basic income is not specified. This distinguishes it from either citizen's dividend or entitlements to proceeds from permanent funds, both of which are financed through the sale or transfer of rights to exploit commons (e.g. common ecosystem services or common property).

Although the idea of a universal basic income seems radical, it is far from new. Thomas More proposed the idea in his 16<sup>th</sup> Century work, *Utopia*. However, an international network to bring contemporary proponents together was not established until 1986. The Basic Income Earth Network (BIEN) establishes a virtual space for proponents, otherwise scattered around the world, to metaphorically 'come together' to explore and advance the concept. BIEN provides a space for largely philosophical or academic discourse. It provides a 'discursive space' rather than a space for organising or undertaking direct action. More than for action-oriented social innovation organisations, BIEN is therefore definable in terms of a concept and a discursive arena and it targets 'top down' reform of state systems rather than bottom-up local action.

Albeit BIEN has 'national' affiliates, its focus on discourse and the fact this is carried out largely using ICT makes the national demarcation of affiliates less meaningful. Some of its affiliates though have recently broken from pure intellectual discourse and are beginning to push for national or local experiments. Experiments necessarily involve some loss of integrity of the concept, since if experiments are geographically-bounded they cannot 'include' everyone and they risk generating impacts, such as incentivising migration, that might not arise or be as significant if basic income was implemented universally. As experiments can never be a true test of the concept, experimentation is not advocated by basic income purists. This has led to an observable split in the movement with 'purists' remaining in the realm of conceptual discourse, while some 'activists' willing to adopt a more flexible stance on inclusion and universality are arguing for limited experiments that would enable the concept to be tested, albeit through imperfect experiments. Questions of the meaning and operationalisation of the principle of 'universality' [who is included, who is excluded, and on the basis of which criteria] are therefore not easily avoided if basic income is to move from abstract concept to an operational policy instrument.

Globalization of the economy and technological change are macro-trends that frame the basic income discourse. These trends are seen by basic income proponents to reduce and change demand for labour, the kinds of work available in the market economy, and wage rates for work of

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different type. Also relevant is that that welfare and social security systems in place are increasingly stressed and, in the perspective of basic income proponents, they are counter-productive to the policy goals they are claimed to serve. In the perspective of BIEN, established welfare and social security systems and policies that seek full employment are misguided. BIEN's narrative of change is framed by high and persisting structural unemployment, a growing wealth and income 'gap' between rich and poor, a perceived poverty trap, and concerns for justice, equity, and freedom, especially for greater freedom for people to choose how they use time.

BIEN sees current arrangements and policies as unfair, oppressive, and coercive. It challenges the establishment goal of full employment on grounds that this is neither necessary nor achievable. Full employment in this perspective is a false or flawed goal. Equally, work in the formal (money) economy is not always what people want. Work can be dull, repetitive and unfulfilling, and many in work do not earn a liveable wage. BIEN argues that full employment policies are driven by political needs to reduce welfare costs and to put pressure on those receiving benefits so that unemployment is not an attractive option. On these grounds, BIEN challenges state welfare and redistribution policies arguing that social security arrangements are less a 'safety net' and more a 'trap' for the weakest and least fortunate whose options reduce even further as a result of receiving benefits under often restrictive and demeaning conditions and who are labelled as 'inactive', seen as 'parasitical' on mainstream society, and stigmatised for being poor.

The transformative ambition of BIEN is therefore root-and-branch reform of the state welfare and means-tested benefits systems and to policies that currently aim at full employment. Unusually for a social innovation, BIEN targets 'top-down' change and its modus operandi is to raise awareness of the basic income concept and win support for it in the policy discourse. The remedy BIEN proposes is to establish 'a firm and unconditional floor' in the form of a basic income on which 'all can securely stand' and which would provide all citizens with more choice to use their time in ways they find meaningful and fulfilling. BIEN therefore taps into ideas of social and economic inclusion and universal rights in respect to an assured level of basic income to provide universal assurance of material wellbeing, freedom from the bureaucracy of need- and means- tested benefit arrangements, and freedom of choice over how individuals use their time.

Effectively, BIEN posits that social and economic inclusion is universally achievable and that this does not depend on full employment or a state welfare system. It posits that the currently strong links between these, which are presented also in full employment policies, are artefactual. Wage working and freedom are presented by BIEN and its affiliates as alternatives rather than as complements, such that full employment in its perspective equates more to universal bondage than to economic and social security as promoted through official inclusion policies.

This aspect of 'freedom' is summed up in the name of one group of German basic income proponents, 'Freiheit statt Vollbeschäftigung', which translates to 'Freedom not Full Employment'. The societal goal, in this perspective, should be more freedom (i.e. liberation from existing social institutions that lock people into dependence, unfulfilling lives, and stigma), so people can use their time in ways they find meaningful and fulfilling. Compared with establishment actors, proponents of basic income therefore place very different interpretations on full employment policy in relation to equally different interpretations of what economic and social inclusion means and how inclusion might be realised.

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Basic income therefore holds many implications for dominant systems and arrangements, such as for how entitlement to a share of GDP is arranged, wage rates and labour market dynamics, whether there is any need for bureaucratic welfare benefit and social security systems, and the (f)utility of mainstream 'inclusion' policies that focus on full employment and economic growth. It involves redefining understandings and patterns of work, time, income, justice, equality, community, citizenship, and inclusion. It holds implications for demographics, including potential impacts on birth rates and migration. It also raises wider questions, including about the role of work and struggle in social order. Is formal, hierarchically-organised work necessary for social order, to avoid chaos and to maintain skill levels in society, or could self-organised work and activity do this equally well? Would people still be motivated to work in the market economy if a basic income was assured already? Would wage rates and income differentials in society increase rather than reduce as a result of basic income? Would levels of work-readiness in society (and emergency- readiness) fall if citizens were not obliged to work? Would greater freedom lead to more disruptive or anti-social behaviour among people with 'too much spare time on their hands' or reduce levels of stress and insecurity and provide for more creative, constructive and caring behaviours to come through?

Owing to its reach and scope for impact on fundamental aspects of social arrangements, the concept has a very high societally transformative potential. But its potential impacts are also highly uncertain and the uncertainties are not easy to address. This is a major stumbling block for the concept in moving from discourse to implementation. Implementing basic income in ways true to its principles can be achieved (in a purist perspective) only by introducing it globally using a standard payment rate. If basic income is not introduced simultaneously and globally (as would be needed to satisfy the principle of universality) or if payments were spatially differentiated to reflect that costs of living differ spatially, implementation cannot be 'unconditional', since questions of citizenship and territory are necessarily raised to determine entitlement. The requirement for qualification criteria to define 'inclusion' is therefore not easily done away with. Equally, any partial experimentation with the concept, such as its introduction by only one or two countries or in limited areas of a country, would not (in the view of BIEN purists) be a true test of the concept, since space-bounded experiments are at odds with principles of universal and unconditional entitlement and create discontinuities that would be likely to generate additional impacts.

On this basis any global implementation based on standard payment rates, which would be true to underling principles, would necessarily involve an untested concept and involve taking a leap in the dark. Given that the transformative potential of such a 'systemic' concept is great and the impacts on established systems and arrangements are so uncertain, there is little appetite for such risk. Against this backdrop, the actual impact of the concept so far has been limited largely to the level of discourse. Perhaps counterintuitively, the high transformative potential and outreach of the concept is partly its undoing since this creates high stakes and high risks when combined with uncertainty.

This uncertainty over impacts also holds implications for defining key actors and stakeholders for BIEN and its affiliates to work with and for relations with establishment actors. Uncertainty over impacts offers both advantages and disadvantages. With impacts uncertain the concept attracts both support and critique from actors across the political spectrum. On the left, universal basic income is thought by some to be a fair and just system, although some on the left still prefer the



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idea of full employment and a minimum wage. On the right, universal basic income is seen by some as a policy that would make the bureaucratic system of means-tested welfare payments obsolete, which appeals to ideas of ridding society of bureaucratic and inefficient government systems that do not add to economic output, although some on the right still argue that a basic income would remove the incentive for people to study, learn a job and work. Increasingly the concept has been positioned as politically neutral.

## 6. Discussion and Conclusion

Our three case study social innovation movements have in common that each, in its own way, sees fundamental flaws in one or more of the major bedrock sub-systems of our present-day societal infrastructure – the mainstream economy, the social welfare system, and representative democracy – and in the mechanisms within and between each of these systems. Whereas mainstream policies of inclusion (especially those relating to economic and democratic inclusion) have been dominated by approaches that seek to integrate the excluded (the unemployed, disaffected voters, etc.) into these bedrock systems, our case study social innovations approach in/exclusion through a different perspective. They reframe the issues, seeing the mainstream systems as ‘the problem’ and relating exclusion to inbuilt mechanisms that are intrinsically excluding, discriminatory, polarising, stigmatising, coercive and self-serving and/or to external trends that have come to limit the possibilities for these systems to be inclusive. Their response is to offer alternative ways of organising society that match better to their and their members’ values and principles.

Inclusion is one of the principles espoused by all three of our case study innovations. As a core principle, inclusion is therefore automatically a design criterion for the solutions they propose. Whereas mainstream inclusion policy seeks to retrofit inclusiveness into systems that are not inclusive (at best a zero sum endeavour and at worst self-defeating), our case study social innovations propose solutions that are inclusive by design and, to varying degrees, put these into practice. This begs some questions: how far have our cases study social innovations come in their experiments in inclusion, to which extent is there evidence that their activities include individuals and groups that suffer most from exclusion, and what challenges do the social innovations face in extending their impact from the few to the many?

Interestingly, the transformative ambitions of our three cases nevertheless differ in how they envision the relation of the solutions they propose to mainstream societal systems and modes of organisation. Basic income is the most radical of the propositions, since it offers an alternative to using the wage relation and qualification-based benefits arrangements as a basis for distributing entitlement to GNP. Effectively, universal basic income could entirely replace the need for qualification-based systems of entitlement. It would reduce the necessity to work in the formal economy and, with that, the power and control that the currently rich and powerful hold over citizens. Participative budgeting (as part of participatory democracy) is not, by contrast, seeking to replace an existing system, but rather to improve an existing system by innovations that could revitalise interest and enthusiasm for democracy and democratic processes. It seeks to make the democratic system more inclusive and more open to direct participation. This would, nevertheless, change the balance of power in public decision making processes, reducing the power of elected representatives relative to individual citizens. Like participatory budgeting, timebanking proposes solutions that could help support and save existing systems under stress; e.g. welfare systems such as health care and adult social services. But timebanking also proposes to help build entirely new

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elements of social infrastructure, such as parallel 'sharing' economies and complementary social insurance arrangements based on in kind contributions rather than money-based contributions. These potential contributions may be seen as less likely to challenge existing power structures, making timebanking perhaps the least controversial of the three social innovations from establishment perspectives.

Both the Timebanking movement and the movement for participative democracy/budgeting demonstrate some achievements. Timebanking, for example, offers quite impressive early-stage social welfare and nascent sharing economy schemes in towns and cities in several different countries with participation open to any citizens and organizations willing to adopt and practice timebanking values. Likewise, the participatory budgeting movement successfully arranges planning and budgeting processes in a growing number of cities and countries and delivers high and broad levels of public engagement, active interest, and diverse participation in local decision making by a diversity of individuals. Both of these movements offer some evidence of proof of concept, at least at their scales of operation, but both are limited in their overall inclusion impact by the fact that their scales of operation are limited.

By contrast, the social movement around Basic Income has still to deliver significant demonstration projects. The reasons for this are arguable. One factor, clearly, is that unlike with timebanking and participatory budgeting, implementing basic income is not something for which direct action is at the full discretion of its proponents; it requires also political support. There is another factor, nevertheless. This is that the concerns of basic income proponents for the integrity of their vision for the concept (in this case, the aspect of universality specifically) seem, until recently, to have kept it from achieving any of its transformative potential. Political progress on achieving demonstration projects has only recently begun to be made and has been achieved (largely) through the efforts of a new actor and some supporters operating independently from the main BIEN movement. Accepting that the wholesale vision (universal inclusion) is near-impossible to implement, these new actors have prioritised pragmatism over purity. Importantly they have also been able to combine their pragmatism with significant communication and political skills. The outcome has been to bring basic income, at least in Switzerland, to a point closer to where it might get a green light for experiments. After many years without political progress, basic income is to be the subject of a referendum.

This suggests there may be some incompatibilities between maintaining the intactness and integrity (purity) of a social innovation and successfully steering a journey toward institutionalisation. Loss of integrity may be (part) of the price of the upscaling ticket. What this highlights from the perspective of theory development is the need to better understand the processes and mechanisms of negotiation that play out within social innovation movements and between them and external actors in the course of making such journeys. This is interesting also from an inclusion perspective, since as the nature of a social innovation changes, its appeal to supporters also changes. With that there can be changes also in its constituencies of support; i.e. the individuals and groups who support and are supported by the social innovation may change. The journey toward institutionalisation, winning new and more supporters, and achieving wider societal impact may also entail losing early supporters on the way. Interviews with some grassroots time bankers, for example, revealed that some prefer the autonomy that comes from being free from sponsorship and they valued this over sponsorship and being tied in to a sponsor's agenda. Others would like to see sponsorship in order to make time banks more sustainable. These

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different perspectives may not be reconcilable. If they are not, up-scaling might necessarily imply some loss of inclusiveness among the membership of a movement as it up-scales and early supporters, alienated, leave.

Two final points are worthy of further consideration here. One relates to the power of demonstration. Accepting that the attention that a social innovation movement attracts from different external actors is likely to vary according to a wide range of factors, being able to demonstrate that the social innovation works – rather than in the case of basic income being able only to theorise and conceptualise the social innovation – seems to be very important. Another is that the scope for institutionalization of one kind or another appears greater when there is some clear correspondence between what the social innovation demonstrates can work in practice and shifts in policy thinking already emerging because mainstream systems are stressed and a search is underway for new solutions. This offers scope for a dialectic relation to emerge through which the two ‘ends’ (niche and regime) might work toward some new ‘middle’. Policy in the UK, for example, has already embraced the sharing economy and a ‘Big Society’ approach to care in the community. Seeking to secure support from the timebanking movement in the UK in delivering its policy agenda is now part of formal policy implementation strategy. The UK Department of Work and Pensions, for example, has been working with Timebanking UK on policies that will see benefits claimants signposted by local job centres to local time banks.

## 3.8 Spatial aspects of social innovation

**Title:** Space, Place and Transformative Social Innovation

**Authors:** Ruijsink, Zuijderwijk, and others (interested ones: Iris Kunze, Noël Longhurst, Facundo Picabea, Rita Afonso, Carla Cipolla, Flor Avelino, Julia Wittmayer, Michael Søgaard Jørgensen, Jens Dorland, Morton Elle, Ricardo Garcia Mira, Bela Györgyi, Balázs Bálint, Paul Weaver)

**Timeline:** submit to journal in 2016

**Target journal(s):** Urban Studies, Routledge; European Urban and Regional Studies, SAGE Journals; Environment and Urbanization, SAGE Journals; International Journal of Urban and Regional Research, Wiley-Blackwell; N.B. idea of Noel and Iris for special issue on scale, space and social innovation

**Extended abstract:**

### General considerations for paper:

**Main contribution for TRANSIT theory development:** in transitions studies and within the TRANSIT project ‘space’ is addressed, but it is conceptualised to a limited extent only (with some exceptions). The research questions in TRANSIT have a spatial perspective and those are developed based on a review of relevant literature on space and on space and transitions. However, the theory development has not had space as its main focus. Also the empirical work in TRANSIT addressed space only to a limited extent. In contrast to the field of transitions studies, space is often the subject of debate within the ‘urban literature’. Besides that social innovation is often presented to have a strong ‘urban’ dimensions and is also subject of study in the urban

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literature. Therefore this paper uses an urban conceptualisation of space to help us better understand the process of emergence, interaction with the social context and empowerment of (transformative) social innovation. It does so by understanding space as a complex concept that has both **a local dimension** linked to local characteristics, experience and challenges, but it also has **a networked dimension** that can be understood by looking at all the connections that a certain space has (N.B. those connections have no spatial boundaries and can reach to another street nearby, to the world wide web, or the other side of the globe, etc.). This paper addresses how the interplay between locality and connection (we refer to this as space of places and space of flows) play a role in the process of emergence, interaction with the social context and empowerment of TSI. This adds value since it enriches the TRANSIT theory with a body of literature from the urban discipline which is currently not much used. Also it draws different conclusions from the empirical TRANSIT material by using a different (spatial) conceptual lens.

## Outline:

### 1. Introduction

In this paper we want to show that and how social innovation and space are related to each other, and we want to shed light on why this relationship is important. We do this by reviewing relevant theory, mainly within the field of urban studies, and by analysing a variety (specify, will be 10+) of case studies using the concepts of 'spaces of flows' and 'space of places'.

### 2. Why this paper?

This paper will address how space, place and (transformative) social innovation are related to each other. By doing so we aim:

- to contribute the process of **theory development on social innovation**
- to enrich the knowledge in the field of **urban studies** (including urban planning, urban governance and urban sociology) by deepening our understanding of the relationship between (transformative) **social innovation and space and place**

This paper is written as part of the TRANSIT project that aims to develop a theory on transformative social innovation. **Transformative social innovation** is a process of change in social relations and it is about new ways of doing, organising, framing and/or knowing. It is directly related to **transformative change** which is change that challenges, alters and/or replaces (dominant) institutions and structures. An important starting point of TRANSIT is the understanding that (transformative) social innovation is shaped by and shapes its social context (Haxeltine *et al*, 2015). Social context is however not an easy concept to understand as it refers to a complex set of contextual factors including institutions, the economy, infrastructure and political discourse, just to name a few. In this paper we zoom in on one specific aspect of the social context: space and place. The work on transformative social innovation is much informed by the field of transition studies. Coenen *et al.* and Truffer , 2012) criticize the way how various scholars either oversimplify or omit the concept of space in transition. In other fields that relate to the broader topic of social innovations, including urban studies, space is a much more common and further developed subject of study.

Space and place can be understood by its physical dimension, but they are also made by their social relations. Transformative social innovations are about changing social relationships and that in fact implies that social innovations are always about social relations and that includes (social)

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networks. In this paper, we suggest to look at social innovations as social relationships that shape spaces and places. But we acknowledge that this relationship is multi-directional: space and place also shape social innovation (See Moulaert, Swyngedouw, Coenen et al., 2012).

In TRANSIT we have studied social innovations with specific characteristics: they were part of a trans-national network and they all had a variety of local manifestations that are connected to those networks. We have for example studied the European Network of Living Labs (ENoLL) and the living lab in Manchester, UK and in Eindhoven, the Netherlands which are a member of ENoLL. In this paper we will assess the role that space/place plays in the process of making making social innovations by looking at and comparing a number of the case studies studied under TRANSIT.

### 3. Social Innovation and (urban) space and place

We take the urban literature as our starting point to understand the role that (urban) space plays in the process of creating initiatives that aim to challenge, later or replace existing structures and institutions (Reference to TRANSIT papers). We do so by zooming in on three different, but closely related, debates in literature: the right to the city, (urban) social movements and the literature on social innovation in space.

#### *Right to the City (Lefebvre, Harvey)*

- Cities produce surplus
- Who benefits from this surplus?
- Who can decide?
- Neomarxist focus; Space is a place for conflict, for confrontation and for reconciliation

The debate around the Right to the City that was coined by Henry Lefebvre in 1968. "Purcell (2003) outlines an interpretation of Lefebvre's right to the city in which citizens take a central role in all decisions that change urban space, suggesting that such a right would utterly transform contemporary capitalism and citizenship" (Sorensen and Sagaris, 2010, p.302). Another important author is Harvey David who published a paper on this in the Non-Academic journal New Left Review in 2008 and he argues that we face systemic crises of accumulation and he pleads: "The question of what kind of city we want cannot be divorced from that of what kind of social ties, relationship to nature, lifestyles, technologies and aesthetic values we desire. The right to the city is far more than the individual liberty to access urban resources: it is a right to change ourselves by changing the city. It is, moreover, a common rather than an individual right since this transformation inevitably depends upon the exercise of a collective power to reshape the processes of urbanization. The freedom to make and remake our cities and ourselves is, I want to argue, one of the most precious yet most neglected of our human rights" (Harvey, 2008, p.23). The debate around the right to the city is developed both in academic (LeFebvre, 1968; Purcell, 2003; Sorensen Sagaris,2010) and public discourse, the latter can be illustrated by the adoption of the City Statute in Brazil (cf Rolnik, 2013).

#### *Urban Social Movements (Castells, Nicholls, Uitermark)*

- A plea for transformation; to claim rights
- Possibilities to connect
- Pressures faced locally

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- Motivation for social mobilization
- Famous examples of urban social movements are the Arab uprising
- Important in this context is the connection between being digitally connected with many, but also physical place to protest – example of Arab uprising, social media made it possible, but could not have happened without protests on real important and symbolic place

The literature on social movements also introduced the multi-layered character of space: space has a localised and tangible dimension, but it is also constructed socially and it is a place of connections.

## *Social innovation in space (Moulaert et al.)*

- Spatial tangibility of inequality in declined neighborhoods
- Spatial concentration of exclusion factors
- There is potential of localities as breeding ground for social innovation
- Places are meaningful
- We need space, tangible and physical, to exercise and experience our citizenship
- In places we can claim our rights and we can confront power inequalities

The link between social innovation and space is not new. Moulaert, Martinelli and Swyngedouw edited a special issue of Urban Studies “Social Innovation and Local Development” in 2005. The introduction paper to this issue addressed the role of social innovation in neighbourhood development it surveyed the definitions of social innovation in a variety of social science fields (Moulaert et al, 2005).

We have shown the importance of space in relation to social change and innovation – but what is a meaningful understanding of space if we try to deepen our knowledge about this relationship? → Space of flows and space of places

## **4. Conceptual framing: space and place**

In order to assess how space/place are made in the relations in a selection of the cases that we studied in TRANSIT and how space/place are making social innovation. do so we built on the notion that space has both a networked and a localised dimension with the concepts defined by Castells: ‘space of flows’ and ‘space of places’. The ‘**space of flows**’ addressed the importance of networks, it refers to the notion that space is much more than a geographical location, space should also be understood by its connections (c.f. Castells, 2000, 2001, Sassen, 2005). Castells explains the space of flows as: “It is made of electronic circuits and information systems, but it is also made of territories physical places, whose functional or symbolic meaning depends on their connection to a network, rather than on its specific characteristics as localities. The space of flows is made of bits and pieces of places, connected by telecommunications, fast transportation and information systems, and marked by symbols and spaces of intermediation (such as airports, international hotels, business centers, symbolized by de-localized architecture)” (Castells, 2000, p.696). He adds: “separate locations are linked up electronically in an interactive network that connects people and activities in different geographical contexts (..), their function and meaning come from their connections”( Castells, 2001, p.554). However, this networked dimension of space

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does not mean that locality is irrelevant, to the contrary (Castells, 2000 & 2001, cf. Healey 2010, Whyte 1980, Gehl 1996, 2004, Friedman 2010). Even if we *are* networked, we *experience* locality. Therefore it is important to also understand space from this localised perspective. “The **space of places** organises experience and activity around the confines of locality” (Castells, 2002, p.554). This implies a more subjective notion of space and this has been addressed by a variety of authors including Friedman as ‘place’. He claims that ‘place’ is hard to define but it “encompasses both a physical/built environment at the neighbourhood scale and the subjective feelings its inhabitants harbour towards each other as an emplaced community” (Friedman, 2010, p.149).

## 5. Research question

Social innovation is shaped in a social and spatial context and it challenges and shapes this context. In other words, social innovation has the potential of addressing challenges in (urban) space, while at the same time it can be enhanced and limited by this context (cf Moulaert *et al*, 2005, 2010). This also makes that each social innovation initiative is unique. Going back to the example of the living labs, the idea of the living lab might have some generic features, but each living lab that exists, is a unique living lab as it is shaped by and in its context.

Based on the former section we argue that one way of understanding this context is by looking at the spatial dimension, more precisely, by looking at the space of flows and the space of places. This leads us to the following research question:

- How does the relationship between space of flows and the space of places manifest itself in transformative social innovation?

We will answer this research question empirically, by looking at:

- The characteristics and importance of the space of flows in the various cases
- The characteristics and importance of the space of places in the various cases
- The way how the space of flows and space of places relate to and interact with each other and what consequences this has for the characteristics of the (transformative) social innovation

## 6. Social innovation, space and place: empirical review

This section now shows two examples that are used to show how different the spatial context can be: Eindhoven and Nairobi. Eindhoven is a secondary city in the Netherlands that is part of the area in the Netherlands that is called ‘Brainport’. This is an area that is (economically) driven by knowledge and (information and communication) technology. Eindhoven is a city with a very high standard of living and with excellent public services. Nairobi is the capital of Kenya and one of the most internationally oriented cities in East Africa. It hosts many regional (African) headquarters of companies and multilateral organisations such as the United Nations. Nairobi is a city of inequality with very wealthy residents (including many expats) and many slums (about 60% of the population lives in slums, the slums use about 5% of the total surface of Nairobi).

Comparative table for understanding and analysis of:

- The characteristics and importance of the space of flows in the various cases
- The characteristics and importance of the space of places in the various cases
- The way how the space of flows and space of places relate to and interact with each other and what consequences this has for the characteristics of the (transformative) social innovation

### Summary table

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Cases	Eindhoven Living Lab initiative Stratumseind 2.0	Nairobi –water & mobile phone M-Maji	Case X	Case Y	....
<b>Space of Flows</b>	Eindhoven is a City of Technology Smart city, big data, open data Eindhoven has many ties with technology industry, knowledge institutions	Nairobi is one of the international capitals of East Africa Mobile phone network is well-developed and phones are easily accessible and relatively cheap Connections with Stanford University (USA)			
<b>Space of places</b>	Local street with pubs Street deteriorates Relatively much violence (youngsters)	Nairobi slum area that lacks basic services No piped water			
<b>Interaction in TSI</b>	Data + street with challenges → (T)SI: LL with sensors that collect data of all activity in the street, data is analyzed with aim to improve atmosphere in the street	Mobile phone + limited access to water →(T)SI: M-Maji, mobile application that uses two-way SMS system for real time data on location, price and quality of water			

## 7. Conclusions

The table + theoretical perspective should help us to draw some conclusions:

- What kind of similarities, differences and peculiarities can we observe in the space of flows, referring to our TRANSIT cases
- What kind of similarities, differences and peculiarities can we observe in the space of places, referring to our TRANSIT cases
- What kind of similarities, differences and peculiarities can we observe in their interactions that shape TSI (and that again aim to impact space and place), referring to our TRANSIT cases
- Do we see some generic patterns? Or....

Direction for the comparative analysis is given by this table (N.B. most probably this will be further detailed by also comparing SoP and SoF, but the final structuring of the analysis will be done after a first quick review of the data sheets of the various cases):

Questions on interactions (drawn from table for filling in data in the annex)	Comparative focus
What are interactions between the space of places and the space of flows that have contributed to shaping the (T)SI? Or: Describe how the most important local characteristics (SoP) co-existed with the networked characteristics (SoF) of the place in which the TSI is located, that have contributed to shaping the (T)SI?	Differences and similarities in the nature of interactions and co-existence. Is the interaction for example strengthening the emergence of the TSI, or is it missing elements. Does it invite for making new connections or for redefining local experiences?



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Can the interaction and co-existence of the local (SoP) and the networked dimension (SoF) explain why this (T)SI happened at this specific place?	Compare how strong the local ties of the various initiatives are; are some SI's more place-based than others?
Does this interaction (dis)empower the initiative (e.g. are there powerful connections (missing) with a local meaning, which play a role in shaping the TSI?)	This reflects on the assumption that power is also related to space and place. Is place playing a role in empowerment in different or similar ways? Is location a factor that facilitates (dis)empowerment?

- Reflect on findings in light of existing literature

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## 4 Highlights for TSI-Theory development

### 4.1 TSI propositions

TSI theory is to be developed out of iterative interplay between TSI proto-theorizing and the empirical findings from the in-depth case studies. In part I of this document it has been shown how comparisons between the twenty case studies can be used to construct tentative typologies, which in turn can inform specific and empirically well-informed propositions on TSI processes. This inductive theorizing through WP4 in-depth case studies is difficult to organize, however, as the case studies comprise a very broad set of themes and questions (deliberately so). This theorizing through empirical evidence crucially requires focusing on specific themes and theoretical conjectures about TSI. The presented eight transversal papers are relatively better positioned to generate (or adapt, refine) specific and empirically well-informed propositions. As transversal papers, they are all set up to zoom in onto certain specific dimensions of TSI, on cross-cutting issues that were defined beforehand or came up during the TRANSIT research process, or on apparent commonalities and lines of division between cases. The very transversal, comparative approach makes for a targeted confrontation between empirical data and preliminary theoretical understandings of TSI.

In this section, we take stock of the theoretical insights that the transversal papers have developed or are working towards. It is considered in particular how these empirical analyses confirm, refute or refine early TSI understandings as consolidated in the propositions of TRANSIT Deliverable 3.2<sup>34</sup>. Each lead author reflects on the insights that his/her paper potentially generates or generated about any of these propositions. In doing so, the authors reflect on whether their papers refute, confirm or otherwise relate to a proposition. More specifically, all authors have been asked to answer the following questions for their papers:

- Are there D3.2 TSI proposition that are/ will be confirmed by the paper? If so, which ones, and how?
- Are there any D3.2 TSI proposition that are/ will be refuted (questioned/challenged) by the paper? If so, which ones, and how?
- Which other insights does/will the paper offer on the D3.2 TSI propositions? (e.g. need to reformulate, clarify, elaborate)
- Which more general insights does/will the paper offer for the development of TSI-theory?

#### 4.1.1 Internal Governance

- **Refute** D3.2 propositions?

The paper is unlikely to uncover empirical evidence that actually refutes the above D3.2 propositions. As the papers is positioned as a contribution to the emergent literature on 'social niches', it is quite likely that some all too simplistic understandings of the 'internal' and 'external' orientations of social niches can be refuted. Or that the very idea of SI initiatives as 'social niches' is

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<sup>34</sup> These propositions are listed in the appendix.

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challenged through the quite considerable variety of ‘new organisational forms’ that this N=12 study brings together.

- **Confirm** D3.2 propositions?

The basic idea behind this transversal paper was to develop the case study category of ‘internal governance’ further. We have various intriguing observations of ‘holocracy’, ‘adhocracy’ and various other modes of coordination that SI local manifestations and networks develop as innovative ways of doing things together (see also TRANSIT brief #2). In line with this, it addresses the propositions 2.8 *“for a SI-initiative/network to have a transformative impact it must maintain a sufficient integrity of its initial vision while also adapting its strategies/actions to the (changing) social context”*, 1.5 *“actors continue to remain engaged only as long as a SI-initiative or network is perceived to be in line with their own vision and values”* and 1.6 *“SI-initiatives require a phase of inward-looking development with sufficient autonomy (from the social context) to develop a coherent vision”*. These propositions on integrity and reasons for developing ‘new organisational forms’ have strongly been informed by (some of) the 12 cases included in the study, and for that reason they are likely to be confirmed in this transversal analysis. The propositions also seem to be quite arguable and congruent with basic intuitions about SI agency.

- **Otherwise relate** to D3.2 propositions?

The paper seeks to develop dynamic accounts of the emergence and development of the ‘new organisational forms’ in TSI – looking beyond these forms, and exploring (as captured in the title) their *formation* processes. As such it is likely to inform more specific propositions on the internal governance and socio-psychological dynamics of our focal agents, the SI initiatives – possibly bringing forth more specific conjectures of the phases they go through. It also promises to bring out the variety of ‘new organisational forms’, and therewith it would inform new propositions on the agents, or constellations of agents, that promote and to some extent ‘drive’, TSI.

- More **general insights** for TSI Theory/ TRANSIT?

In its broad exploration and stock-taking of new organisational forms and constellations of agents, the paper will deepen our understanding of the embedded agency that seems characteristic for TSI processes. Our methodological choice to study cases with analytical foci on transnational networks, local manifestations and individuals in LMs reflects ontological assumptions about co-produced TSI. This (initially fairly intuitive) choice seems to make sense – the paper could substantiate why it makes sense, and inform well-grounded propositions on the embedded agency of TSI.

## 4.1.2 External Governance

- **Refute** D3.2 propositions?

As indicated above, refutations are unlikely to come up in empirical analysis. Still, the paper could refute the relevance of some of the dispositions distinguished in proposition 2.11.

- **Confirm** D3.2 propositions?

This paper addresses D3.2 propositions on how SI and transformative change interact. The empirically compares how (through what patterns or generative mechanisms) transformative SI attempts are neutralized, absorbed, commercialized, or more generally ‘translated’ in less

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transformative doing, organizing, framings and knowing than they were intended by the SI initiatives promoting them. The paper tests/develops the associated TSI proto-theory propositions 2.4 *“SI has a dialectic relation with existing/established (dominant) institutions and structures - they both challenge them and reproduce them”* and 2.11: *“For SI-initiatives/networks to have transformative impact, they need to ‘play’ (make advantageous) relationships with established, institutions and actors in ways consistent with their transformative ambitions. This may follow dispositions such as complying, irritating, avoiding, resisting, compromising, hijacking”*. The paper, drawing on 12 local manifestations from 6 SI networks, is quite likely to confirm these propositions. These propositions have to a significant extent been informed by some of the cases included, after all. Moreover, the propositions are quite general and it is not easy to imagine empirical evidence that might refute them.

- **Otherwise relate** to D3.2 propositions?

The paper will help to specify the dialectics indicated in proposition 2.4, hopefully into distinct patterns or typical sequences of events. It will certainly specify the ‘dominant institutions’, taking stock of the particular (market, state, science) institutions that may be at issue in a case simultaneously.

- More **general insights** for TSI Theory/ TRANSIT?

As the paper addresses the challenging/reproduction dialectics, it also addresses the broader, theoretically fundamental issue of agency-structure. And as the paper seeks to develop a (dialectical) process understanding, it also holds the promise of bringing forth more specific propositions that articulate pathways, or necessary/sufficient conditions for the achievement of transformative impact.

## 4.1.3 SI as response to Crisis

- **Refute** D3.2 propositions?

The larger-N testing paper does aim to achieve some Popper-style refutation work. An important challenge is still to construct empirically refutable propositions. The Waterloo school ideas on the ‘release-reorganization’ process seem more amenable for this than the two D3.2 propositions. For example, we might find cases that seem to move through the adaptive cycle in reverse direction, or in which the theorized phases coincide, or in which ‘release’ never really occurred.

- **Confirm** D3.2 propositions?

The paper addresses the ‘emergence, move and expanding’ of SIs, and in particular propositions 1.1 *“SI emerges from dissatisfaction/s with existing social relations and ‘dominant’ ways of doing, organizing, framing and knowing (why)”* and 1.2 *“SI emerges as a reaction to ‘tensions’ in/with technological, economic, political and social conditions (why)”*. The paper especially addresses the idea that ‘SIs emerge as a reaction’ to these ‘tensions’ – i.e. the idea that SIs emerge as responses to crisis. In the latter regard we construct further propositions on the emergence of TSI through crisis, and on the account of the ‘Waterloo school’ in which this ‘emergence through crisis’ is theorized as a phase transitions between the ‘release’ and ‘reorganization’ phases in the adaptive cycle of resilient systems. The N=20 paper will probably largely confirm the above D3.2 propositions and related ‘adaptive cycle’ propositions. The two D3.2 propositions are quite broadly formulated, seem quite adequate or even evident empirically, and are just likely to be confirmed.

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More important than the larger-N confirmation, this analysis is likely to help us specify the processes and event sequences that link 'SI emergence' to 'crisis', specify what kinds of crises kind be distinguished, and articulate more clearly what processes the casual 'emergence through crisis' expression refers to.

- **Otherwise relate** to D3.2 propositions?

The paper aims to reconstruct typical sequences of events that link between 'emergence' and 'crisis' – it needs to be seen in how far it succeeds in this. In any case, this attempt at process analysis incites further formulations of propositions in the form of statements about sequences of events, in the form of necessary and sufficient conditions, and in the form of phase typologies. More specific and testable propositions.

- More **general insights** for TSI Theory/ TRANSIT?

As indicated under 3), the paper is a deliberate move towards developing TSI process theory, generating explanations on the basis of typical sequences of events. As such it helps us towards a more direct confrontation of our overall research question, and especially the explanatory (rather than descriptive) aspect of '*how and under what conditions*'.

## 4.1.4 Research Relations

- **Refute** D3.2 propositions?

This paper addresses the relationship between researchers and TSI research. Therefore it mainly tells us something about the agency of TSI. It also reflects on the interaction with scientific institutions. In that sense the paper also indirectly tells us something about the propositions. None of the propositions seems to be refuted by the paper.

- **Confirm** D3.2 propositions?

The role of researchers in TSI research is mainly related to the topic of agency. An important contribution of researchers to TSI is the addition of adding more reflexivity to the process. This relates to two propositions related to 'agency in SI'. The first proposition which is confirmed or at least further elaborated upon in this paper is 3.5: "*TSI agency involves individual and collective TSI reflexivity (reflexivity about TSI).*" The second proposition which elaborates upon reflexivity is 3.10: "*reflexive learning processes are necessary for a SI-initiative/network to persist (over time and space) and adapt successfully to a changing social context*". Researchers in TSI can facilitate a learning environment which can help TSI-initiatives to reflect upon themselves enriched by broader insights by the researcher. The researchers' role in TSI can take many forms as is discussed in the paper. It is for a large part depending on the interest of the researcher him/herself and how the researcher perceives his/her role in TSI. These considerations inform what researchers study and how they study it. In this sense one could argue that the traditional researcher role is being re-invented. This relates to proposition 3.1: "*SI-initiatives/networks can increase their agency (/transformative impact) by reshaping established social relations and institutions in ways that further enable the SI.*" More concretely this hypothesises that reshaping the role of the researcher in TSI processes might increase the agency of SI-initiatives/networks.

- **Otherwise relate** to D3.2 propositions?
- More **general insights** for TSI Theory/ TRANSIT?

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The topic of paper addresses some basic assumptions we have about TSI and the knowledge production/framing activities therein. This paper can provide more insights in how SI-initiatives/networks can ‘make use of’ researchers and TSI research in general. By describing different cases on researcher-research relations, the paper will provide more insight in the researchers role in (T)SI processes. Thereupon new propositions specifically focused on the research-researcher role can be formed. This re-invented/re-formulated role of the researcher can be seen as a social innovation in itself as well.

We understand TSI to be shaped along the interplay between the intertwined D, O, F, K dimensions. As such, the paper addresses the role that we as researchers play in TSI and in particular the new knowings and framings. It could be considered for example how TRANSIT position themselves vis-a-vis the TSI processes they study – and how that relates to some other roles and positioning of researchers that we have seen in the various case studies. (Legitimizing TSI, Underpinning TSI, ‘Scientivism’, initiatives towards democratization of science and inclusion of citizens, etc.)

## 4.1.5 Narratives of Change

- **Refute** D3.2 propositions?

Given that the paper reconstructs NoCs on the network level and does not consider local initiatives (although aspects of the cited NoCs are based on interviews with individuals involved in local initiatives) it may not appear straightforward to take a stand on proposition 2.9 *“Many SI-initiatives start with ‘local’ ambitions but as they develop/expand they come to realise that in order to further promote the SI they need ‘transformative’ ambitions.”* All NoCs, however, can be read as encouraging stories about the power of (networked) individuals or initiatives to bring about transformative change and none of the NoCs studied limits transformation to a specific scale-level. It appears thus at least questionable to juxtapose ‘local’ with ‘transformative’ ambitions. The studied NoCs implicate the view that broad and persistent change can only occur in tandem with local, persistent and, in the case of GEN’s NoC, even internal, individual change.

- **Confirm** D3.2 propositions?

The transversal paper on Narratives of Change (NoC) was not constructed to test TSI propositions. To avoid confirmation bias, a loose and broad heuristic was set up, based on existing literature in the fields of narrative and discourse analysis, to first re-construct and subsequently analyse, compare and contrast the NoCs of three rather different SI-networks (Ashoka, RIPESS, Global Ecovillage Network). Further, the paper highlights the “narrative practices” that SI-networks engage in to develop their narratives and the role networks accredit to their stories about change in regard of their transformative potential, ambitions and impact.

Based on the analysis, propositions 1.1 *“SI emerges from dissatisfaction/s with existing social relations and ‘dominant’ ways of doing, organizing, framing and knowing (why).”* and 1.2 *“SI emerges as a reaction to ‘tensions’ in/with technological, economic, political and social conditions (why).”* can be confirmed in the sense that RIPESS’ and GEN’s NoCs take explicit issue with existing social relations (in particular, dominant ways of framing, organising and doing) by referring to dominant institutions or (resulting) social relations as root causes for pressing social, economic or environmental issues. Thereby, the networks’ ambitions, aims and activities are framed as a response to and indeed emerging from, not only ‘tensions’ (prop. 1.2), but even conflicts and catastrophic consequences of current conditions. Ashoka’s NoC is different by remaining silent



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about specific challenges that need addressing. Their narrative revolves around the (heroic) individual that can, with the right skills and support, conceive tailor-made and context-specific solutions – and thus provides space to every individual social entrepreneur to create his/her own NoC.

Proposition 2.12 *“For a SI-initiative/network (with a transformative ambition) to have a transformative impact it needs to engage with and promote narratives-of-change that both justify the transformative ambition/s and inform practical strategies and actions.”* can also be confirmed based on the three NoC studied in the paper. Each of the networks’ NoC provides a rationale and an approach to achieve desired changes. While Ashoka advocates enabling environments for social entrepreneurs, RIPESS proclaims practical experimentation with a variety of alternative forms of social and solidarity economy, and GEN argues for strong communities comprised of strong (healed) individuals that live sustainably and who practice sustainable living. Therefore, Ashoka’s narrative revolves around building an enabling environment for the social entrepreneur. RIPESS argues for experimenting with a variety of alternative forms of social solidarity economy who unite vis-à-vis the established market order. GEN advocates inner, individual healing and strong communities who collectively and everyday practice sustainable living on the ground.

- **Otherwise relate** to D3.2 propositions?

Based on the research conducted, it can be noted that narratives of change, and practices around constructing, refining and communicating stories, metaphors and ideas about change (i.e. narrative practices) play a role in initiatives’ dialectic engagement with the social context. Narratives may shift in response to changes in the social context, for example. Proposition 1.7 *“SI emerges successfully amongst a group of people (in a SI-initiative) when they are able to dialectically ‘transcend’ (some) constraints (as existing institutional arrangements) of the social context within the ‘experimental space’ they create.”* is thus supported and can be extended to explicitly include the discursive sphere into the ‘experimental space’ referred to, with NoC acting as vehicle to ‘transcend’ constraints imposed by current conditions.

Proposition 2.8 *“For a SI-initiative/network to have a transformative impact, it must maintain a sufficient integrity of its initial vision while also adapting its strategies/actions to the (changing) social context.”* is perhaps too broad to be refuted. The fact that Ashoka’s NoC changed its focus on the “one-in-a-million social entrepreneur” to the “everyone-a-changemaker” theme indicates significant flexibility to deviate from initial visions, however. While discursive and strategic reorientation may have to do with commercial reorientation, it may also be due to contextual changes and subsequent adaptations of prevailing ideas about change (e.g. Transition Towns’ rationale broadening from peak oil to economic resilience).

- More **general insights** for TSI Theory/ TRANSIT?

The NoC paper aimed to elaborate and improve upon initial ideas about Narratives of Change as formulated in D3.2. While the central definition of Narratives of Change remained intact, the paper provides more specific, empirically-grounded and theory-informed insights about the content, production and (assumed) role of NoCs. Whilst achieving this, it does not elaborate the relation between Narratives of Change and Theories of Change (as espoused theories) and actual theories in-use, hinted at in D3.2: “While narratives of change are more metaphorical, theories of change tend to consist of much more elaborate, specific, structured and multi-layered models of change, which refer to and relate various actors, conditions, contextual factors and socio/ecological historical processes in maps of assumed causal relationships. Such views are not



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necessarily well-reflected in espoused theories for achieving change.” (p.32). The transversal analysis of three NoCs is able to show how narratives of change serve several functions, ranging from internal definition of goals to their external communication. NoCs are thus, on the one hand, a vehicle to make ToCs explicit and, on the other hand, a tool to engage with other SI-initiatives and dominant institutions (theory in-use).

It would be challenging yet important to study the relation and co-development of NoCs, ToCs and actual strategies and actions of SI-networks to shed light on the highly relevant proposition 3.6 *“Having theories of change that explicitly, and adequately, address TSI dynamics (how SI interacts with transformative change) increases a SI-initiatives transformative potential/s and transformative impact/s.”* and proposition 3.7 *“For SI-initiatives/networks to have transformative impact/s they need to update and adapt their theory-of-change based on learning about the effects of their strategies and actions on challenging, altering and/or replacing institutions in the social context.”*

## 4.1.6 New Economy

- **Refute** D3.2 propositions?

There are no D3.2 propositions that are directly refuted by our paper. The paper does, however, provide empirical input to question (the specific framing of) some propositions. For instance, proposition 2.5 that *“for SI to have transformative impact, it must challenge, alter and replace established institutions across all institutional logics (i.e. market, state and civil society)”*. Some cases in the paper challenge, alter and/or replace established economic institutions more within one institutional logic than in another. Some ‘new economy narratives’ are inherently more critical of/ focused on one particular institutional logic than others. For instance, the ‘solidarity economy’ narrative (by e.g. RIPESS) is inherently more critical of the current market logic than the narrative of ‘social entrepreneurship’ (by e.g. the Impact Hub or Ashoka). One could argue that different networks and their differing narratives of change complement each other in challenging, altering and/or replacing dominant institutions in the economic system. This thus questions the level at which the transformative impact of SI is evaluated: is it at the level of initiatives, networks, or at the level of a *collection* of initiatives/networks? Could it be that the collective transformative impact across all institutional logics might actually be increased if individual initiatives/networks *specialise* in challenging particular institutional logics? These are relevant questions for the next phase of theory-development, in particular in relation to the notion of “social innovation fields”, i.e. how does the impact and focus of the field relate to the impact and focus of singles networks/initiatives?

- **Confirm** D3.2 propositions?

The paper fully confirms proposition 3.8 that *“the transformative ambitions of SI-initiatives/networks differ not only in the extent to which they aim to challenge (alter and/or replace) existing structures and institutions (in the social context) but also in terms of how ‘radical’ (how fundamentally different from present arrangements) are the institutional changes that they propose”*. Not only do the cases differ regarding the institutional logic that they focus on changing in the economy, they also significantly differ on how radically they believe that current dominant economic institutions need to change for a new/better economy to emerge.

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The paper provides empirical illustrations for various D3.2 propositions that revolve around the dialectic relations between SI initiatives and dominant institutions (1.12, 1.13, 1.14, 2.4, 2.11, and 2.13). The SI-cases studied in this paper, challenged the dominant economic system mostly indirectly, through counter-narratives and by demonstrating and developing alternative forms of social relations. These cases seem to focus more on devising alternative possibilities, than on explicitly ‘fighting’ existing economic systems or established institutions. Nevertheless, we observe that the social innovation networks do - implicitly and explicitly - challenge institutional constellations underlying the current economic system, in the sense that these initiatives often operate at the intersection between different institutional boundaries. We empirically discussed how the initiatives under study often seem located in a so-called ‘Hybrid Sphere’. Many of them lack a clear ‘institutional home’, struggle for legitimacy and funding, and are often concerned about being ‘hijacked’ by government or business interests (see also Pel & Bauler 2014). While this is a considerable constraining factor for these initiatives, there is also a transformative potential therein, in the sense that these networks are involved in renegotiating institutional boundaries between formal and informal, for-profit and non-profit, public and private, and challenging – or at least questioning established power relations between state, market, community and the non-profit sector.

The paper also illustrates the proposition 3.1 how *“SI-initiatives/networks can increase their agency (/transformative impact) by reshaping established social relations and institutions in ways that further enable the SI”*. More specifically, the paper discusses how various SI-cases emphasise the renewal of social relations as a prerequisite and basis for a new economy. Because these social relations are something that they can work on directly in their own local context (lab, ecovillage, co-working space, etc.), this provides them with a sense of agency for transformative impact (as opposed to changing the economic system as a whole).

- **Otherwise relate** to D3.2 propositions?

Comparing the New Economy paper to the D3.2 propositions, has led to a few noteworthy observations on the type and focus of propositions in relation to the empirical data. First, many of the propositions make statements about the processes through which SI-initiatives/networks develop and how/to what extent they create transformative impact. However, the empirical data in the New Economy paper – as well as much of the data in the Batch I cases more generally – focuses more on descriptive data regarding the propositions and ambitions of the networks and initiatives themselves. The Batch II cases based on the D3.2 framework already provide more attention for process, as well as the CTP database.

- More **general insights** for TSI Theory/ TRANSIT?

We found that all SI networks under study (Batch I) relate to different and new forms of economy, either by referring explicitly to one or several of existing new economy strands (e.g. relocalisation, collaborative economy, social entrepreneurship, solidarity economy), or by using different terms, thereby co-shaping existing and/or new ‘narratives of change’ on new economies. Narratives of change interact with game-changers such as the global economic recession of 2009: narratives respond to such game-changers, while at the same time (re)framing them. None of the narratives on ‘new economies’ as observed in our case-studies are entirely ‘new’, nor are they explicit ‘responses’ to the economic crisis. However, it seems that the perceived economic crisis has provided these alternative narratives with a ‘boost’ of renewed interest and opportunities. It might be interesting for the next phase of TRANSIT’s theory development to include more specific

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propositions on these 'discursive dynamics' in the social context, and how SI-initiatives/networks gain agency from learning how to play into that dynamic.

Furthermore, the empirical cases in the New Economy paper claim that the renewal of social relations is a requirement for transformative change in a wider societal context such as the economic system. What is TRANSIT's theoretical position on this claim? While there are several propositions on how SI in general relates to transformative change, it would be fruitful to be more specific about the different dimensions of social innovation – i.e. changing social relations, new ways of doing, organising, knowing and framing – and how each of these dimensions relates to transformative change in the social context. One more specific question being: what is TRANSIT's theoretical answer to the question of how and to what extent transformative change in a social context such as 'the economic system', depends specifically on the renewal of social relations?

## 4.1.7 Inclusive Societies

- **Refute** D3.2 propositions?

The empirical cases do not provide evidence that specifically refutes any of the propositions with the exception perhaps of those concerning loss or preservation of autonomy when SI interacts with established institutions and/or succeeds in expanding over space/time. Important here is to distinguish among different ways to achieve transformative impact. There is evidence that some of the ideas of our case study social innovations do influence establishment thinking and can have impact on the ways of doing, framing, organising and knowing *of other organisations* without this necessarily involving any loss of integrity to the social innovation. A promising way for timebanking to have transformative impact, for example, appears to lie in influencing other organisations to adopt asset-based approaches and mutual aid mechanisms in at least some of their operations and activities. This 'influence' on other organisations does not directly impact on timebanking per se, so there is no loss to timebanking if others take up some of its ideas. Widespread take up of ideas could contribute to societal level change. Some loss of autonomy – and some loss of purity – may however be necessary for SI to expand across space and time. Evidence from Basic Income suggests the need for demonstration projects to make any political progress with the concept, and these necessarily imply loss of purity of the concept, but may be a necessary price for Basic Income to move up the political agenda. The TSI proposition concerning challenging, altering and replacing established institutions across all institutional logics may also be too strong. Transformative impact could come by building a parallel societal infrastructure that operates on different logics, while leaving existing systems and logics relatively unchanged.

- **Confirm** D3.2 propositions?

Most propositions relating to the social innovation and its emergence are confirmed through the empirical evidence of the cases as interrogated through the lens of inclusion. Emergence arising from dissatisfaction and as a reaction to tensions is confirmed; here based largely on the tension between the qualification-based entry criteria to established societal systems and the desire for inclusivity or from the tension between being included in systems and those systems being coercive or controlling. SI emerges in metaphorical spaces, but it is not clear those are necessarily 'experimental', since they may be simply discursive (as in the case of Basic Income) and, because of that, not get much further than exploring concepts. The term 'experimental' might not be the right term here but the concept of some kind of space seems justified.

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- **Otherwise relate** to D3.2 propositions?

All three of the studied cases have explicit transformative ambitions. However, the relation between transformative ambition and transformative impact is not easily researchable since none of the three have yet achieved transformative impact. The transformative potential of an SI does not necessarily relate to its having an explicit transformative ambition. Basic Income has transformative ambition but this does not give it transformative potential because the ambition is set so unrealistically high to preclude that.

- More **general insights** for TSI Theory/ TRANSIT?

It is important to reflect on the strategies and tactics of the social innovations – and the dynamics of these – in relation to their target systems and the transformative changes they seek. Are there different strategies (even within the same social innovation), which are most effective and under what conditions? How are strategies differentiated; e.g. are there any key and recurring dimensions? How might SI strategies interact most effectively with establishment policies? There may be greater transformative potential in some highly ‘versatile’ SI that hold capacity to be adapted for different purposes and goals or which fundamentally change cornerstone aspects of societal arrangements, such as how time is used. But these may be the most threatening for the establishment, because of their systemic and (often) uncertain outcomes. What strategies are effective in handling this conundrum?

## 4.1.8 SI and Space

Space is a part of the social context (central concept in TRANSIT), it addresses the complexity of the social context by unpacking space as multi-dimensional concept with networking and local characteristics (space of flows and space of places respectively).

- **Refute** D3.2 propositions?

This paper does not refute the D3.2 propositions. It might however show that the proposition *SI emerges in ‘experimental spaces’ where like-minded people gather (how, where, who)* (this is a proposition about emergence) needs to be revised following from the conclusions that are to be drawn in the paper on SI and space. This paper addresses the question whether certain SI initiatives emerge in a certain space because of the local characteristics and the networking characteristics of this space, so it relates to the ‘where’. It might show that this implies that there is a presence and gathering of like-minded people and that that happens in an ‘experimental place’, but it goes a step further by looking at other characteristics as well, it assumes that this explanation of like-minded people and an experimental space is not a strong enough condition, it is rather the combination of the local characteristics and the networking characteristics of this space. A similar notion is true for the following proposition: *To persist, move and expand a SI-initiative/network must develop and implement strategies that allow it to create and maintain spaces and mobilise resources*. The focus on space be on the dynamic role that space plays, assuming that SI initiatives use space and also transform it, so it does not assume that space is ‘maintained’, but rather that it is being used and in some situations there is a deliberate focus on intervening in it, turning space into place (placemaking). Space in itself is also a resource.

- **Confirm** D3.2 propositions?

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This paper will not literally confirm with the following proposition, but it zooms in on one element: *To persist, move and expand a SI-initiative/network requires 'spaces', 'resources', and 'tools' for empowerment.* It will address that and how an SI-initiative requires and uses space in its endeavours to have impact.

- **Otherwise relate** to D3.2 propositions?
- More **general insights** for TSI Theory/ TRANSIT?

This paper mainly relates to other propositions as follows: (1) *Many SI-initiatives start with 'local' ambitions but as they develop/expand they come to realise that in order to further promote the SI they need 'transformative' ambitions.* This paper also takes the starting point that there is an important local dimension to SI initiatives, it however addresses that it is not only the local issues that lead to local ambitions, but their success also depends on their networks. And networks clearly have a spatial dimension, it does not only matter who is involved in a network with what kind of ambitions, but it also matters where an SI initiative is based, since it is partly based on their location, that it has a certain network that allows it to move beyond its relation with and impact on the local context (this relates to the acknowledgement that space is a resource).

(2) To be part of achieving a broad societal-wide transformative change, a SI-initiative/network must develop a strategy to challenge, alter and/or replace multiple and inter-linked clusters of established (dominant) institutions (in that social context). The notion of inter-linked clusters has an analogy with the importance of networked spaces (where the connection matter). So this paper unpacks what multiple and inter-linked clusters are, but does so from a spatial perspective. It does not go very deep on the broad societal-wide transformative change.

(3) [Social learning] Reflexive learning processes are necessary for a SI-initiative/network to persist (over time and space) and adapt successfully to a changing social context. The focus in this paper is on the meaning of space, so it will shed light on what this means when an SI is emerging, persisting, or anything else over or in 'space'.

## 4.2 Synthesising Insights for TSI theory development

Taking stock of the kind of impulses for TSI theorizing that are generated by the transversals, the following observations seem relevant for both further transversal analysis and the theorizing itself. After all, this stocktaking of the transversal analyses also reveals to what extent the D3.2 propositions are amenable to confirmation and refutation. Apart from highlighting some useful refutations, confirmations and adaptations of propositions, it also yields clues for the formulation of propositions, and the logical forms of propositions about TSI.

**The irrefutability of TSI propositions.** One quite obvious observation to make is that the transversal papers are rarely claimed to refute (or expected to) refute any propositions. There are a few possible explanations for this to consider. A few lead authors indicate that refutation was not what they were after, opting rather for explorative, 'unpacking' approaches. But there were also remarks that the propositions were just formulated in a way that make them elusive to refutation: Too general and broad in scope, not specific about causalities or mechanisms – making it difficult to find or even to imagine empirical evidence that would contradict a certain proposition. Considering the TRANSIT ambitions towards explanatory TSI theory and the arguable need for testable propositions when developing explanatory, there are several possible practical implications asserting themselves: 1) strive towards better testable TSI propositions; 2) strive for less explorative and more testing-oriented research strategies; 3) consider possible mismatches between theoretical propositions, and the data set available through which to test them.

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**Confirmations – how encouraging?** In conjunction with the previous observation, the transversal papers bring forward – or are expected to – quite some confirmations of TSI propositions. They yield much more confirmation than refutations, in any case. Again there are several possible explanations for this to consider. First of all, the empirical confirmations (on the relevance of space as tool and element of context, on the initiatives/networks co-production of narratives of change, on the relevance of crisis/game-changer developments next to other processes of change, on the role of dissatisfaction with current ‘exclusive systems’ in relation to the desire for ‘inclusivity’, on the adequacy of a dialectical understanding of SI institutionalization etc.) can solidify and substantiate many of our theoretical insights and intuitions. Second however, we need to question how encouraging all this confirmation is. Procedurally, the propositions addressed have been informed by the same case studies through which they are empirically tested afterwards, so there is a methodological circularity that makes confirmation likely. Third, also here it is relevant that the formulations of propositions may just beg for confirmation, through too general and broad scope and by remaining unspecific about causalities and mechanisms.

**Unpacking and specifying.** Especially the more explorative (rather than testing) papers typically unpack and bring forward additional distinctions within broad theoretical categories and propositions. The notion of ‘dominant institutions’ is diversified through the new economies and external governance papers, the idea of ‘networks’ and ‘initiatives’ as key TSI agents is substantiated but also refined, reflection on the role of the researcher forces specification of ideas about social learning, about academia as dominant institutions, and about the origins of new ways of framing and knowing. Likewise, the inclusive society and external governance papers drive towards specification of our general ideas about ‘finding a balance’ between radicalism and collaboration with dominant institutions. Finally, the ‘space in social innovation’ transversal analysis may even be considered a necessary explorative study before which any propositions on the relevance of (particular kinds of) space can be meaningfully formulated. Moreover, part I of this document has brought forward similar results of unpacking and specifying. A fairly practical implication is then that these specifications should be inserted into the propositions to which they pertain, and be used to supplant categories that they prove to be too general or ambiguous.

**Addressing non-TRANSIT TSI propositions.** A fourth observation is that the transversal papers all address some or several TSI propositions. This indicates focused efforts towards interplay between empirical findings and theoretical insights, as intended in the TRANSIT project. Expressed negatively, this also raises the question to which extent the papers engage with propositions about TSI aspects that have been formulated by other researchers in the field. One explicit attempt to do the latter is the ‘responses to crisis’ paper, trying to confront TRANSIT data with propositions brought forward by the Waterloo school. Another less explicit example is the ‘Space in Social innovation’ paper, situating our TSI theorization in broader discussions about the spatial dimensions of societal development. Especially as the papers move towards conference and journal submissions, they will probably become more explicit in their engagement with non-TRANSIT TSI propositions. A possible practical implication is to formulate TSI propositions that are explicitly situated in, or even pitted against, non-TRANSIT TSI propositions. Or in other words, to make sure that the next theoretical propositions formulated in TRANSIT are more explicitly positioned in/ related to state-of-the-art debates on theories of innovation and transformative social change.

**New topics for propositions.** Several transversal papers bring forward new topics and TSI dimensions on which to formulate propositions. Especially the ‘researcher relations’, the ‘space in social innovation’ and the ‘inclusive society’ papers seem to indicate hitherto forgotten/not yet



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articulated TSI aspects on which to formulate propositions. Some other new topics include: the collective/cumulative transformative impacts of clusters of SI initiatives ('new economies' paper), the specific relations between the economic system and social relations ('new economies' paper), the discursive drawing on or playing into crises or game-changers (idem, and 'responses to crisis' and 'narratives of change papers'), the role of the researcher (and possibly broader TSI agency of academia and other producers of new knowings and framings), the relevance and strategic benefits of having a sound and regularly updated 'narrative' or 'theory' of change ('narratives of change'). Finally, several papers seem to suggest specified propositions on the key agents in and origins of SI, i.e. on the relations between initiatives, networks, clusters, fields. These would be specific propositions on the relational, co-productive ontology of TSI as we have already started to develop it.

**New forms of propositions.** Related to the issues raised under confirmation, refutation and unpacking of propositions, the lead authors of the transversal papers have brought forward several ideas for new forms in which to formulate TSI propositions. Apart from the move towards more specific propositions – for example on the different kinds of 'dominant institutions' that an initiative may be interacting with simultaneously -, there are also some proposals for propositions that express some causalities or mechanisms. The papers on 'inclusivity', 'new economies' and 'narratives' all stress the need to pay more attention to the relations between discourse, agency and impact, i.e. how the narratives, theories of change and strategies that SI-initiatives uphold, relate to their transformative ambitions, potentials and impacts. There are also other moves towards identification of typical phases, sequences of events and pathways. However, in the 'new economies' reflection it is remarked that such typical process-theoretical kinds of propositions are relatively difficult to explore through batch I data and easier to develop through batch II – which contains more process data. The latter consideration reminds us that process-type propositions could be developed through and tested with WP5-data on the critical turning points. Finally, it could be considered how the set of propositions – on all kinds of different TSI aspects – covers the overarching research questions of TRANSIT. The main research question asking about the 'how and under what conditions', it seems desirable to formulate propositions about (necessary, sufficient) conditions under which SI initiatives can contribute to transformative change. Some D3.2 propositions are already formulated in a similar shape, but the logical form of 'conditions for outcome X' could be elaborated. This also relates to the 'inclusivity' paper reflections on the need to more clearly differentiate and study the distinctions between transformative ambitions, potential and impact.

**Propositions and TSI dimensions addressed.** The set of eight transversal papers addresses a large share of the D3.2 propositions. They do so sometimes frontally and purposively, sometimes more as an outcome of a rather explorative study. Propositions addressed are 1.5, 1.6 and 2.8 (internal governance, inclusivity), 2.4 and 2.11 (external governance, inclusive society), 1.1 and 1.2 (responses to crisis, narratives of change), 3.5 and 3.10 (researcher relations), 2.9, 2.12 and 1.7 (narratives of change), 1.8 and several others indirectly (space in social innovation), 1.12, 1.13, 1.14, 2.4, 2.11, 2.13, 3.1 (new economy, inclusivity). As indicated, this overview does not give a complete picture of which propositions are fully covered or left for further transversal research. Importantly, there are some propositions that will eventually be thoroughly tested, and others that will only have been explored superficially – for lack of specific data, or out of difficulties to organize the confrontation of empirical data with overly general or ambiguous statements. A general observation that could arguably be made is that the transversal papers tend to address those topics on which there seems to be sufficiently rich and reliable data across all cases. Out of this pragmatic consideration, it is likely that certain topics are under-researched and others somewhat overexposed. The emergence and interaction may be analysed somewhat more than the agency, for example, the SI may be covered a bit more than the T, and the agency of initiatives and networks is typically addressed more than the agency of other actors and developments.

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## Appendix 1: Overview TSI Propositions (D3.2)

### How SIs emerge, move and expand (across time and space).

Note the 'working definitions' of: Social Innovation (SI), SI-initiative and SI-network (see section 3.3 of this document).

- 1.1. SI emerges from dissatisfaction/s with existing social relations and 'dominant' ways of doing, organizing, framing and knowing (why).
- 1.2. SI emerges as a reaction to 'tensions' in/with technological, economic, political and social conditions (why).
- 1.3. SI emerges in 'experimental spaces' where like-minded people gather (how, where, who).
- 1.4. SI emerges when actors are motivated to create new social relations (and new ways of doing, organizing, framing and knowing) more in line with their visions and values (why).
- 1.5. Actors continue to remain engaged only as long as a SI-initiative or network is perceived to be in line with their own vision and values.
- 1.6. SI-initiatives require a phase of inward-looking development with sufficient autonomy (from the social context) to develop a coherent vision (when, how).
- 1.7. SI emerges successfully amongst a group of people (in a SI-initiative) when they are able to dialectically 'transcend' (some) constraints (as existing institutional arrangements) of the social context within the 'experimental space' they create.
- 1.8. To persist, move and expand a SI-initiative/network requires 'spaces', 'resources', and 'tools' for empowerment.
- 1.9. To persist, move and expand a SI-initiative/network must develop and implement strategies that allow it to create and maintain spaces and mobilise resources.
- 1.10. To persist, move and expand, a SI-initiative needs to recruit actors (create social relations) from outside of its initial group, both as supporters to provide it with legitimacy and/or resources, and to access 'intermediaries' able to translate between SI and the social context (who, when).
- 1.11. The movement and expansion of SI is facilitated by processes of comparison and competition by actors (both SI-actors and 'intermediaries') operating between different contexts, regions and institutions.
- 1.12. As SI-initiatives move and expand (across time and space) they must engage in a 'dialectic relation' with *established* institutions, organizations and actors (who may be both receptive to the SI and/or have powers to change the framing conditions for the social innovation).
- 1.13. When SI interacts with established institutions it (inevitably) loses some of its autonomy.
- 1.14. SI-initiatives that succeed in expanding (across time and space) must develop strategies that enable the preservation of autonomy while also engaging with external actors and institutions, if they fail at this they may persist as viable 'organisations' but in a form that is captured by established arrangements (as dominant institutions and structures).

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## 2. How SI and transformative change interact

Note the working definitions of: transformative change, transformative ambition, transformative potential, and transformative impact (see section 3.3 of this document).

- 2.1. SI has a two-way relationship with 'transformative change' - SI can be explained as outcome of transformative change as well as a contribution to transformative change.
- 2.2. Transformative change requires SI; SI requires transformative change (how).
- 2.3. SI may be linked with transformative impacts both intentionally and/or unintentionally (a SI-initiative or network may play a role in the dynamics of transformative change processes, irrespective of whether or not it has a transformative ambition or vision).
- 2.4. SI has a dialectic relation with existing/established (/dominant) institutions and structures - they both challenge them and reproduce them.
- 2.5. For SI to have transformative impact, it must challenge, alter and replace established institutions across all institutional logics (i.e. market, state and civil society).
- 2.6. SI can be transformative at a personal level (but to link to transformative change in the social context there needs to be in place recursive relations of learning and influence between the inter-personal and the collective levels (and with processes of institutional change)).
- 2.7. For an SI-initiative/network to have a transformative impact, it needs to resolve its own, internal tensions with the social context (that arise from a 'lack of fit' between the innovation and existing arrangements).
- 2.8. For a SI-initiative/network to have a transformative impact it must maintain a sufficient integrity of its initial vision while also adapting its strategies/actions to the (changing) social context.
- 2.9. Many SI-initiatives start with 'local' ambitions but as they develop/expand they come to realise that in order to further promote the SI they need 'transformative' ambitions.
- 2.10. This represents an Achilles' heel moment which demands both a radical internal change and the creation of new relations with external actors and institutions.
- 2.11. For SI-initiatives/networks to have transformative impact, they need to 'play' (make advantageous) relationships with established, institutions and actors in ways consistent with their transformative ambitions. This may follow dispositions such as complying, irritating, avoiding, resisting, compromising, hijacking.
- 2.12. For a SI-initiative/network (with a transformative ambition) to have a transformative impact it needs to need to engage with and promote narratives-of-change that both justify the transformative ambition/s and inform practical strategies and actions.
- 2.13. SI-initiatives/networks (with transformative ambitions) can achieve transformative impacts by exploiting situations where intersecting or overlapping (or contested) institutions (in the social context) create opportunities for institutional change.
- 2.14. To be part of achieving a broad societal-wide transformative change, a SI-initiative/network must develop a strategy to challenge, alter and/or *replace multiple and inter-linked* clusters of established (dominant) institutions (in that social context).

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## 3. Agency in SI and transformative change.

Note the working definitions of: agency and empowerment; and, governance, learning, monitoring, and resourcing (see section 3.3 of this document).

- 3.1. SI-initiatives/networks can increase their agency (/transformative impact) by reshaping established social relations and institutions in ways that further enable the SI.
- 3.2. SI-initiatives/networks can increase their agency (/transformative impact) by developing a portfolio of *different* strategies for *different* aspects of the social context.
- 3.3. Networks and especially transnational networks enable SI-initiatives to gain access to specialized actors outside of their original constituency.
- 3.4. SI-initiatives/networks (with transformative ambitions) can increase their agency (/transformative impact) by interacting with other SI-initiatives/networks (forming 'clusters' and/or a 'field') to create alignments (around visions, strategies and actions).
- 3.5. TSI agency involves individual and collective TSI reflexivity (reflexivity about TSI).
- 3.6. Having theories of change that explicitly, and adequately, address TSI dynamics (how SI interacts with transformative change) increases a SI-initiatives transformative potential/s and transformative impact/s.
- 3.7. For SI-initiatives/networks to have transformative impact/s they need to update and adapt their theory-of-change based on learning about the effects of their strategies and actions on challenging, altering and/or replacing institutions in the social context.
- 3.8. The transformative ambitions of SI-initiatives/networks differ not only in the extent to which they aim to challenge (alter and/or replace) existing structures and institutions (in the social context) but also in terms of how 'radical' (how fundamentally different form present arrangements) are the institutional changes that they propose.
- 3.9. SI may be instrumentalised by powerful actors (for example, conservative parties using the social economy as a cushion for welfare state reforms) If so, there may be gains in resilience and status of the social economy but transformative potential is reduced.
- 3.10. [Social learning] Reflexive learning processes are necessary for a SI-initiative/network to persist (over time and space) and adapt successfully to a changing social context.
- 3.11. [Resourcing] A SI-initiative/network may create or gain access resource flows that have a degree of autonomy from dominant institutions, but to have a transformative impact (on the social context) it needs to mobilise resource flows in the social context.
- 3.12. [Governance] To achieve a transformative impact, a SI-initiative/network needs to adopt and adapt modes of governance that are BOTH effective (in terms of movement and expansion) AND consistent with (the values of) the SI.
- 3.13. [Governance] SI-initiatives/network must navigate existing governance arrangements in the social context, whether by playing into them (to achieve more support) or by ignoring or challenging them.
- 3.14. [Monitoring] Externally imposed monitoring and evaluation processes always result in a loss of autonomy for a SI-initiative; however, reflexive forms of monitoring and evaluation are also possible that take the form of an embedded activity that informs learning processes and ultimately enhances the agency of the SI-initiative.